



OPEN SESSION

FOR INFORMATION ONLY

(No formal action is requested at this time)

1. [School of Dentistry Compensation Plan](#) (Attachment A)
Jim Dean, Executive Vice Chancellor and Provost
2. [Overview of Academic Performance](#)
Jim Dean, Executive Vice Chancellor and Provost
3. Naming Recommendation
Trustees Alston Gardner and Chuck Duckett.

OTHER INFORMATION TO BE RECEIVED

1. [Management Flexibility Survey](#) (Attachment B)
Jim Dean, Executive Vice Chancellor and Provost

*Some of the business to be conducted is authorized by the N.C. Open Meetings Law to be conducted in closed session.

COMMITTEE MEMBERS

J. Alston Gardner, Chair
Charles G. Duckett, Vice Chair
Phillip L. Clay
Peter T. Grauer
Kelly Matthews Hopkins
Andrew H. Powell

Administrative Liaison:

Jim Dean, Executive Vice Chancellor and Provost

Executive Summary for UNC School of Dentistry Proposed Compensation Incentive Plan

Background

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

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

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

The Plan Components:

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

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

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

Academic Performance

Presentation to the UNC-Chapel Hill Board of Trustees
University Affairs Committee

March 25, 2015

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



Overview

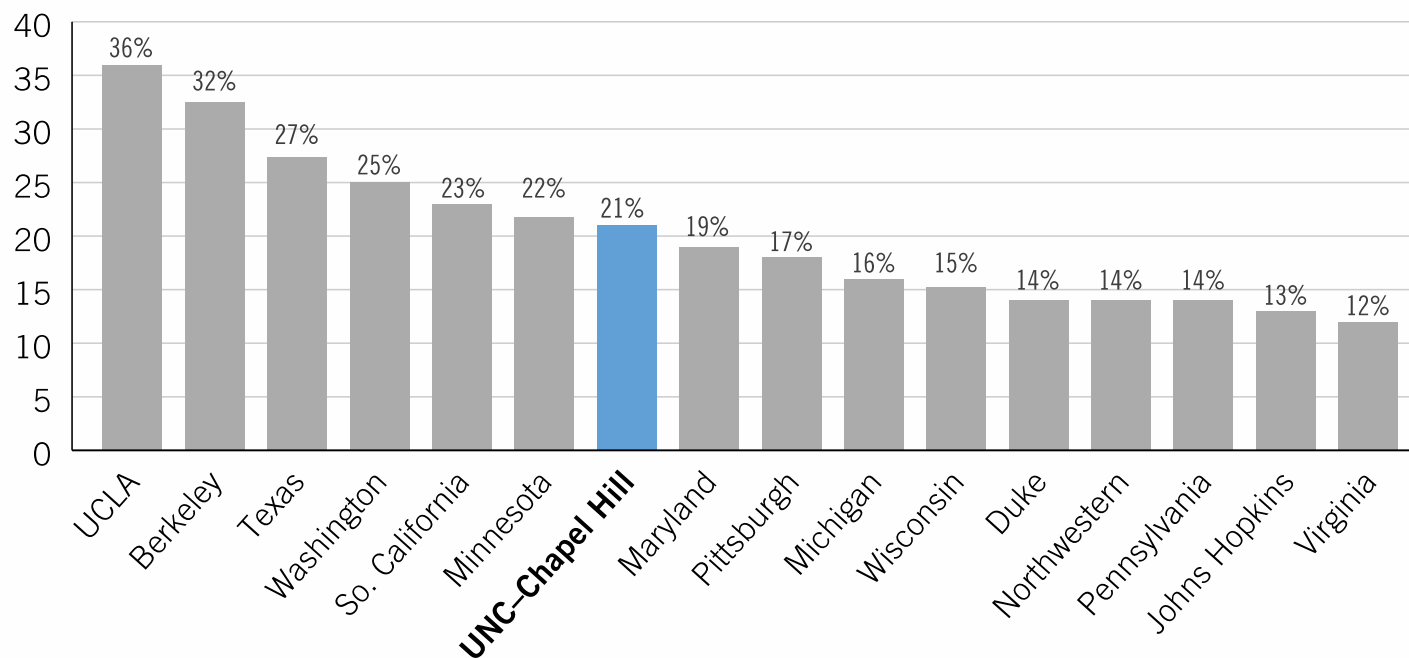
- Diversity and Access
- Faculty-Student Interactions
- Engagement (Academic and Co-Curricular)
- Research Revenue
- Completion Rates
- Alumni Success
- Student Satisfaction
- Honors and Awards
- Campus Climate



DIVERSITY AND ACCESS

Latest Percentage:
UNC-Chapel Hill
21% in 2013-2014

Percent Low Income Students 2012–13



DEMOGRAPHIC DIVERSITY

Percent Underrepresented Minority Faculty Fall 2013

**American Indian/Alaska Native,
Black/African American, Hispanic**

UNC–Chapel Hill	11.2%
Texas	10.3%
Maryland	9.1%
Berkeley	8.2%
UCLA	8.1%
So. California	7.6%
Michigan	7.1%
Pennsylvania	7.1%
Duke	7.1%
Northwestern	7.0%
Johns Hopkins	6.4%
Washington	6.0%
Virginia	5.8%
Minnesota	5.6%
Pittsburgh	5.1%
Wisconsin	5.0%



DIVERSITY AND ACCESS

Percent Underrepresented Minority Undergraduate Students Fall 2013

Latest Percentage:

UNC-Chapel Hill

0.5% American Indian/Alaskan Native in Fall 2014

8.4% Black/African American in Fall 2014

7.4% Hispanic in Fall 2014

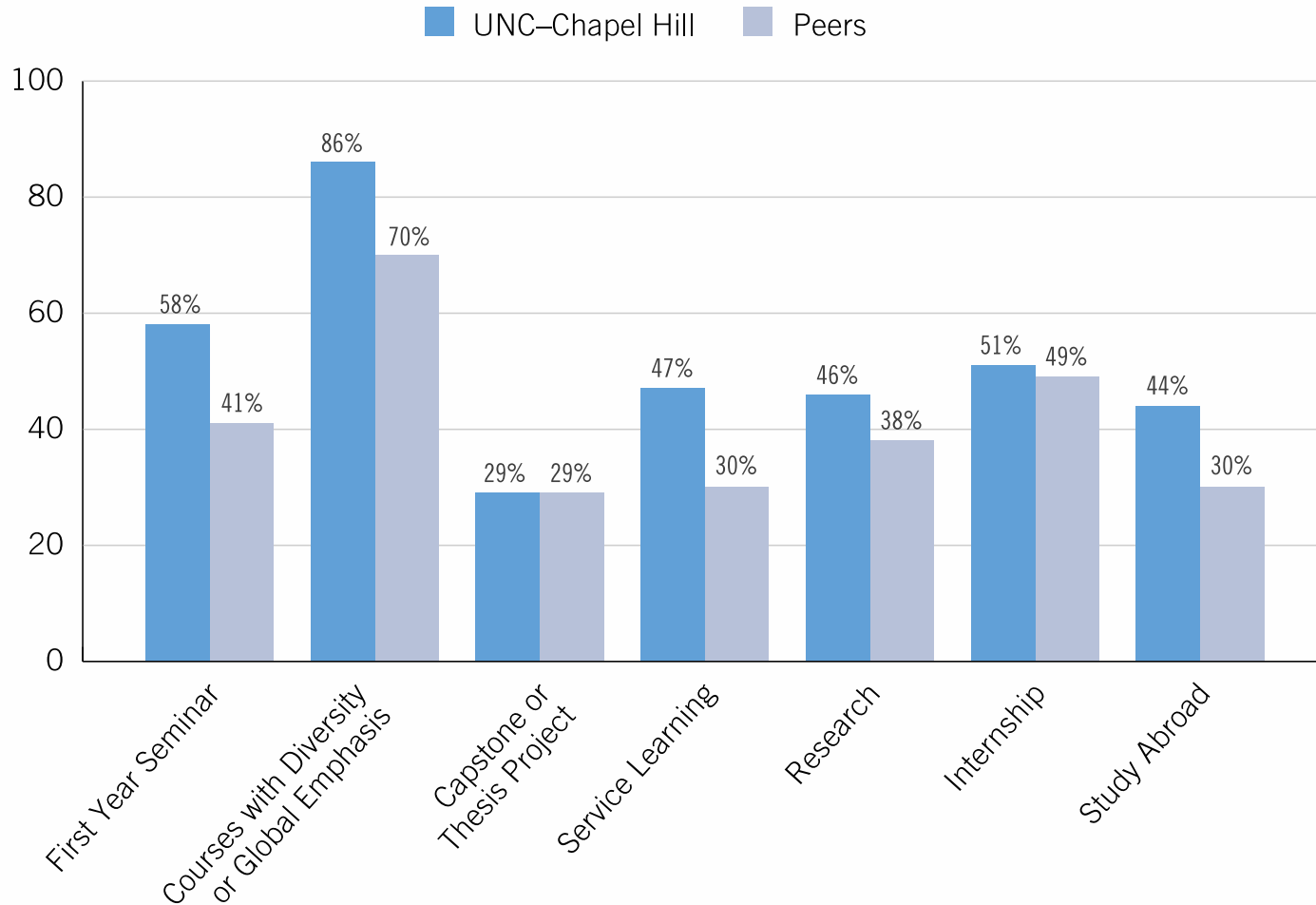
American Indian/ Alaska Native		Black/ African American		Hispanic	
Washington	0.6%	Maryland	12.5%	Texas	21.7%
Duke	0.6%	Duke	9.9%	UCLA	18.4%
UNC-Chapel Hill	0.5%	UNC-Chapel Hill	8.5%	So. California	13.4%
Northwestern	0.3%	Pennsylvania	7.0%	Berkeley	13.2%
Minnesota	0.3%	Virginia	6.2%	Johns Hopkins	10.1%
Wisconsin	0.2%	Johns Hopkins	5.7%	Northwestern	9.5%
Texas	0.2%	Northwestern	5.7%	Pennsylvania	9.5%
Virginia	0.2%	Pittsburgh	5.4%	Maryland	8.8%
Michigan	0.2%	So. California	4.3%	UNC-Chapel Hill	7.1%
So. California	0.1%	Michigan	4.3%	Washington	6.8%
Johns Hopkins	0.1%	Texas	4.3%	Duke	6.1%
Pennsylvania	0.1%	Minnesota	3.9%	Virginia	5.5%
Maryland	0.1%	Washington	2.6%	Wisconsin	4.5%
UCLA	0.1%	UCLA	2.6%	Michigan	4.1%
Berkeley	0.1%	Wisconsin	2.2%	Minnesota	3.0%
Pittsburgh	0.0%	Berkeley	2.2%	Pittsburgh	2.6%

Percentage of Undergraduate Classes with Fewer than 20 Students Fall 2013

Northwestern	75%
Johns Hopkins	72%
Duke	71%
Pennsylvania	68%
Berkeley	60%
So. California	57%
Virginia	55%
UCLA	50%
Michigan	47%
Wisconsin	46%
Maryland	44%
Pittsburgh	41%
Minnesota	39%
UNC-Chapel Hill	39%
Texas	35%
Washington	34%

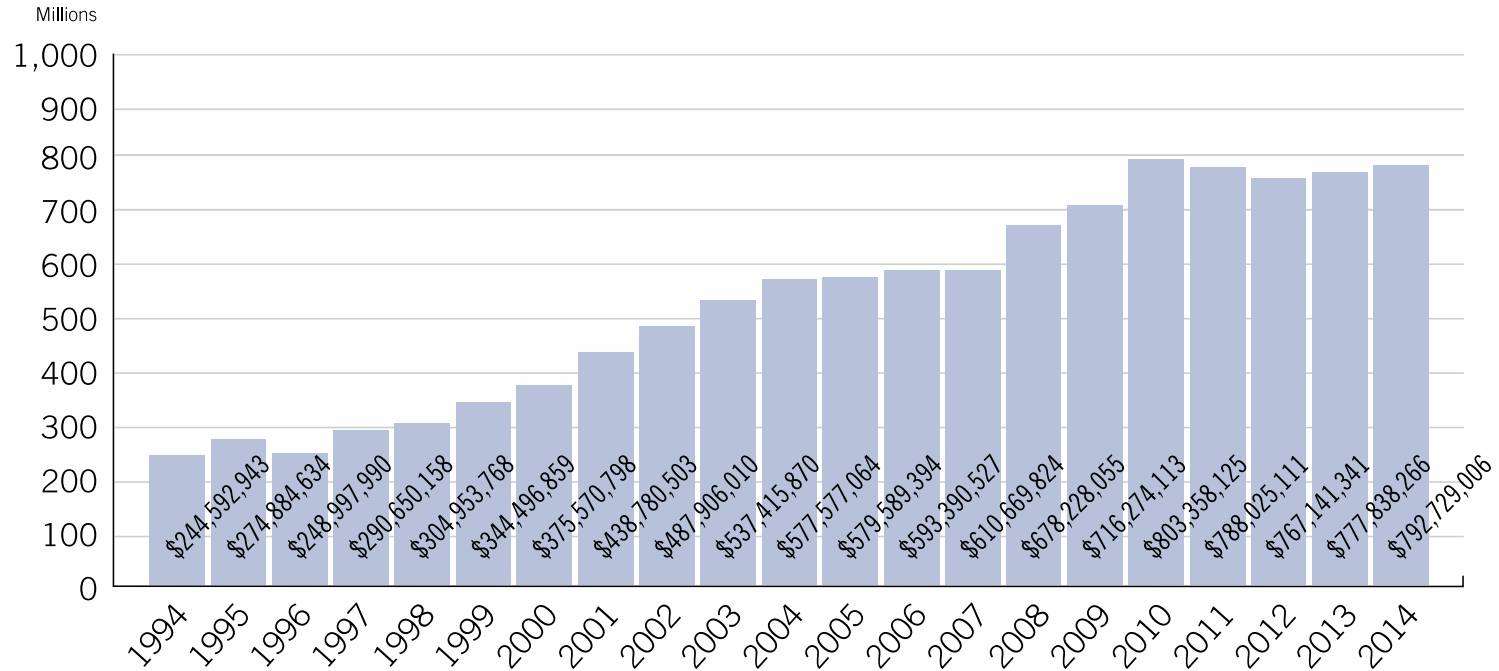


Percentage of Seniors Who Reported Participation in High Impact Learning Activities 2013



RESEARCH REVENUE

Sponsored Research Awards



COMPLETION RATES

Graduation Rates: 2007 Entering First-Year Cohort

Latest Rates in 4-Years:
UNC–Chapel Hill
83.7% for 2010 Cohort

Latest Rates in 6-Years:
UNC–Chapel Hill
90.3% for 2008 Cohort

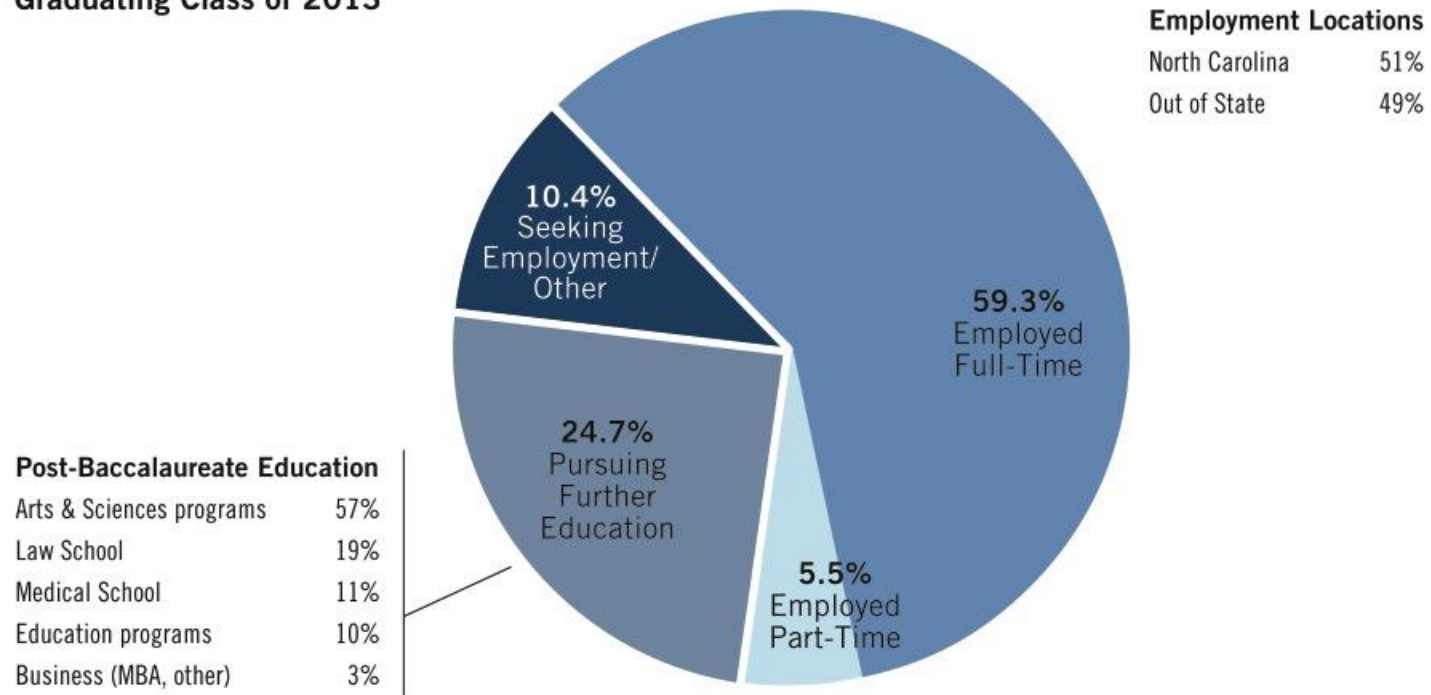
	4-Year
Pennsylvania	87.9%
Johns Hopkins	87.9%
Duke	87.0%
Virginia	86.3%
Northwestern	86.0%
UNC–Chapel Hill	81.1%
So. California	78.0%
Michigan	75.8%
Berkeley	72.2%
UCLA	69.0%
Maryland	65.7%
Pittsburgh	64.4%
Washington	57.5%
Wisconsin	56.4%
Minnesota	54.5%
Texas	50.9%

	6-Year
Pennsylvania	95.7%
Duke	94.0%
Northwestern	94.0%
Johns Hopkins	93.4%
Virginia	93.0%
Berkeley	91.0%
So. California	91.0%
UCLA	90.3%
UNC–Chapel Hill	90.2%
Michigan	90.0%
Maryland	84.1%
Wisconsin	83.7%
Washington	81.9%
Pittsburgh	80.4%
Texas	79.4%
Minnesota	75.4%

ALUMNI SUCCESS

Undergraduate First Destinations

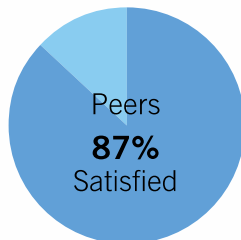
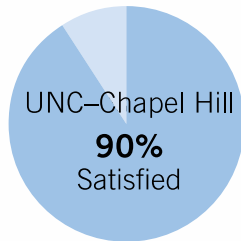
Graduating Class of 2013



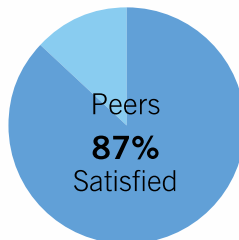
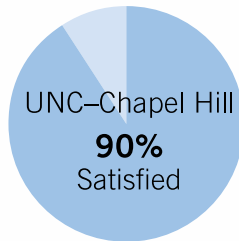
SATISFACTION

Undergraduate Students: Satisfaction with UNC–Chapel Hill Education 2013

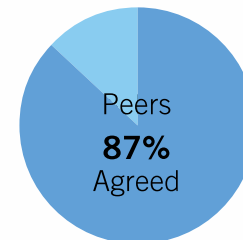
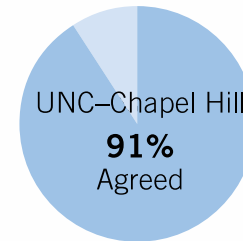
Academic Experience



Social Experience



“Knowing what I know now,
I would still choose to
enroll here.”



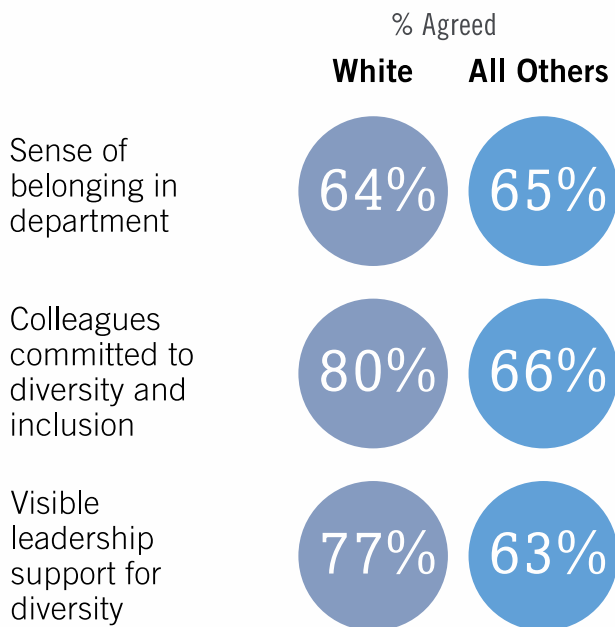
HONORS AND AWARDS

Number of Students Winning Prestigious Honors/Awards: 1902 to 2014

Scholarship/Fellowship Name	Cumulative Total of Unique Recipients
Rhodes Scholarships	48
Goldwater Scholarship	41
Luce Scholars Program	36
Truman Scholarship	30
Marshall Scholarships	16
Churchill Scholarship	15
Udall Scholarship	14
Boren Scholarship	13
Beinecke Scholarship	5
Mitchell Scholarship	3
Gates Cambridge Scholarship	2
Ertegun Scholarship	1

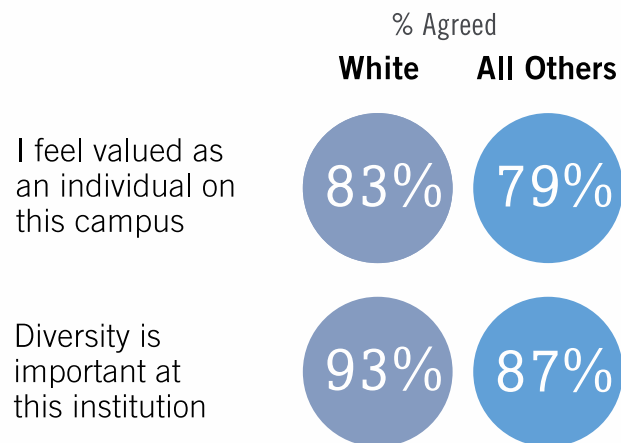
WELCOMING DIFFERENCES

Faculty Ratings of Campus and Department Climate 2013



WELCOMING DIFFERENCES

Student Ratings of Campus Climate for Diversity 2013



Discussion





UNC Management Flexibility Survey, 2013-14

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

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

Survey Instructions

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

Completing the survey

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

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

Eric Fotheringham
919.843.6967
emfotheringham@northcarolina.edu

1. Campus Information

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

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

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

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

11/08/2002

2. EPA Appointments

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

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

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

DO NOT report interim appointments

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

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

3. Additional EPA Appointments

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

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

DO NOT report interim appointments

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

4. Non-Salary Compensation

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

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

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

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

DO NOT report interim appointments

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

5. Non-Salary Compensation Type and Amount

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

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

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

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

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

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

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

6. Generic SAAO Positions

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

The data in the spreadsheet must include the following items:

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

After creating the spreadsheet, please upload the file below.

Generic SAAO Positions.pdf
275.1KB
application/pdf

7. Faculty and Tenure

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

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

8. Equity Issues

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

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

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

UNC-CH_equity_1.pdf
293KB
application/pdf

Generic Position List - Management Flexibility 2013-2014

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

Generic Position List - Management Flexibility 2013-2014

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

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

University of North Carolina at Chapel Hill

Background

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

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

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

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

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

Tier 1 Employees

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

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

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

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

Dean Positions

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

Tier 2 Employees

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

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

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

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

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

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

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

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

OHR Summary

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

2013 Follow-Up Report to the Faculty Salary Equity Study

The University of North Carolina at Chapel Hill

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

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

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



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

**2012 FACULTY SALARY EQUITY
TASK FORCE REPORT**

Office of the Executive Vice Chancellor and Provost

2012 FACULTY SALARY EQUITY TASK FORCE REPORT

Presented to Executive Vice Chancellor and Provost Bruce Carney

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

Salary Equity Study

Methodology

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

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

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

Regression Models

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

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

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

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

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

Results

Descriptive statistics for the study population revealed the following:

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

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

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

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

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

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

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

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

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

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

Tenure and Promotion Study

Methodology

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

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

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

Results from Analysis of the 1994-2003 Assistant Professor Cohorts

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

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

Promotion Rates and Years to Promotion from Assistant to Associate Professor

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

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

**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 to the combined group of African-American, Hispanic, and Native American faculty. Some differences in these patterns were observed between Academic Affairs and Health Affairs. However, after statistically adjusting for other relevant factors (terminal degree, experience, division, etc.) the magnitude of all these differences was considerably reduced.

Results from Analysis of the 1990-2000 Associate Professor Cohorts

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

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

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

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

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

**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.

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

UNC-CH_equity_2.pdf
144.3KB
application/pdf

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

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

9. Audit Findings

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

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

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

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

UNC-CH_audit.pdf
82.3KB
application/pdf

9. Audit Findings

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

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

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

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

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

10. Compensation Policies

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

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

UNC-CH_compensation_1.pdf
543.6KB
application/pdf

UNC-CH_compensation_2.pdf
986.5KB
application/pdf

UNC-CH_compensation_3.pdf
1.4MB
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Compensation Program for EPA Non-Faculty Employees (IRPS and SAAO Tier II)

POLICY STATEMENT

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

AUDIENCE

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

POLICY DETAILS

Compensation Structure

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

Job Families

The program groups individual positions with similar responsibilities and job content into 16 defined job families, as follows:

- Senior Executives (Associate Vice Chancellors, Vice Provosts and Associate Provosts) (Job Family AA)
- Academic Administration and University Programs (Job Family A)
- Business and Finance (Job Family B)
- Clinical Administration (Job Family C)

- External Affairs/Development (Job Family D)
- Human Resources (Job Family E)
- Information Technology (Job Family F)
- Advising, Counseling and Student Support Services (Job Family J)
- Admissions, Recruitment and Financial Aid (Job Family K)
- Professional Librarians (Job Family L)
- University Attorneys (Job Family M)
- Centers and Institute Management (Job Family O)
- Instructional Support, Public Service and Extension (Job Family IPS)
- Social Sciences Research (Job Family SSR)
- Health Sciences Research (Job Family HSR)
- Physical Sciences Research (Job Family PSR)
- Unassigned (includes Athletic Coaches and other exceptional circumstances where a position falls outside the existing compensation structure) (Job Family X)

The appropriate School/Division Human Resources Officer and the Office of Human Resources (OHR) can provide guidance to managers and department heads in determining the most appropriate job family for any individual position.

Job Levels

Within each job family, there are individual job levels which help to further differentiate positions based on scope, complexity and specialized skill requirements. The following factors are among those used to assign each position within a job family to its most appropriate job level:

- size of work unit
- span of authority (unit/school/campus)
- scope of responsibility (including consequence of error and independent decision making)
- supervisory/managerial responsibility
- comparison to relative positions as appropriate
- nature and scope of research
- policy/program development
- research/academic impact
- fiscal and/or administrative oversight and supervision

The appropriate School/Division Human Resources Officer and OHR can provide guidance to managers and department heads in determining the most appropriate job level for any individual position.

Compensation Rates

For each unique job family and job level combination, there is a series of compensation rates intended to inform individual compensation decisions. These rates are as follows:

- The [minimum salary](#) defines the minimum compensation level assigned to positions at a specific job family and job level; exceptions to the minimum salary are noted in this policy.
- The [maximum salary](#) defines the maximum compensation level assigned to positions at a specific job family and job level; exceptions to the maximum salary are noted in this policy.
- The [salary range](#) represents the range of compensation between the defined minimum and maximum salary amounts.
- The [reference rate](#) is an aggregate of similar jobs at the 75th percentile in the outside labor market and represents an approximate midpoint of the assigned salary range for each job level. The reference rate is not intended as a formal limit for salary decisions in hiring or when deciding on a proposed salary increase for existing employees. Some employees will be paid below or at the reference rate and others above it based on a variety of factors as set out below.

Salary Setting Guidelines and Procedures

Factors in Determining Salary Amounts

Setting a specific salary amount is dependent upon a variety of factors which must be considered by departmental management in consultation with their School/Division HR Officer and OHR. These factors include, but are not limited to

- available budgetary resources
- acquired knowledge, skills and experience
- employee performance
- possession of an advanced degree or professional credentials that enhance the ability to perform required duties of the position
- scarcity and uniqueness of employee skills and abilities in the context of the greater job market

- internal equity
- retention or replacement of employees
- relation to reference rate

Minimum and Maximum Salary Limits

- New hires and salary actions for existing EPA non-faculty SAAO Tier II employees *on or after January 1, 2013*, shall **not** fall below the applicable minimum salary or exceed the applicable maximum salary based on the assigned job family and level, absent a specific exception permitted by this policy.
- New hires and salary actions for existing EPA non-faculty IRPS employees *on or after July 1, 2014*, shall **not** fall below the relevant minimum salary or exceed the applicable maximum salary based on the assigned job family and level, absent a specific exception permitted by this policy.
- There is **no** requirement that employees hired prior to the above dates whose salaries fall below the applicable minimum salary be immediately moved to the minimum salary. However, the relevant Department and School/Division management should consider moving the employee to or above this minimum salary within some defined timeframe based on available budgetary resources. Salary adjustments in this case should follow standard OHR procedure for salary increase requests (see [Out-of-Cycle Salary Increase Requests for EPA Non-Faculty](#)).
- There is **no** requirement or intention that employees hired prior to the above dates whose salaries exceed the applicable maximum salary have any reduction in salary. However, any future proposed salary increases for such individuals that exceed the applicable maximum salary are subject to the specific provisions and required approvals as set forth in this policy.

Exceptions to Maximum Salaries

Exceptions to maximum salaries may be requested using the [Faculty & Non-Faculty Salary Adjustment/Supplement](#) form and are subject to the following approvals:

- For EPA non-faculty SAAO Tier II positions, the maximum salary may only be exceeded when justified by critical University business need. Such exceptions must be approved by the Vice Chancellor for Workforce Strategy, Equity and Engagement **and** the Chancellor.

Salary requests that are both 10% and \$10,000 above the established maximum salary must also receive the approval of the Board of Trustees.

- For EPA non-faculty IRPS positions, the maximum salary may only be exceeded when justified by critical University business need. Such exceptions must be approved by the submitting unit's Dean or Vice Chancellor **and** the Vice Chancellor for Workforce Strategy, Equity and Engagement.
- For positions assigned to the research job families (SSR, HSR, PSR), the job level maximum may be exceeded, for either a new hire or an existing employee, up to the reference rate of the next highest job level within the same job family. This exception is intended to address the unique demands of the research enterprise and the dynamic nature of individual research projects, especially when movement of an individual position to the next highest job level is not justified. This exception should be based on essential operational or business need and must receive the approval of the relevant Department Head **and** the requesting unit's applicable Dean or Vice Chancellor.

Changes in Job Family Assignment or Job Level

During the normal course of business, changes in employee responsibilities or job content may make it necessary to reassess and possibly reassign a given position to a different job family or job level, which in turn may drive changes in compensation.

If an EPA non-faculty position is subject to substantial change in job duties or reporting relationship, the position description should be updated and the changes reflected in the enterprise Human Resources system. The School/Division Human Resources Officer and OHR can then review these documented changes to determine if any change in job family or job level is necessary.

Not every change in position duties or addition of new job responsibilities will necessarily merit a change in assigned job level or job family. Each circumstance will be reviewed individually using the factors outlined in this policy.

Authority to Appoint and Fix Compensation

Pursuant to [UNC General Administration \(GA\) Policy 600.3.4](#), "Granting of Management Flexibility to Appoint and Fix Compensation," the University has established market salary ranges for all EPA non-faculty positions:

- Salary ranges for EPA non-faculty SAAO Tier II positions are approved by the Board of Trustees as required by GA policy.
- Salary ranges for EPA non-faculty IRPS positions are established by OHR.

OHR is delegated authority by the Chancellor to maintain and administer the salary range structure for all EPA non-faculty positions and to maintain policies and procedures to support implementation of this structure.

DEFINITIONS

EPA non-faculty employees: non-faculty employees exempt from the State Human Resources Act

job family: a group of individual positions with similar responsibilities and job content

job level: one of two or three individual levels used to differentiate positions within a job family based on scope, complexity and specialized skill requirements

maximum salary: the maximum compensation level assigned to positions at a specific job family and job level

minimum salary: the minimum compensation level assigned to positions at a specific job family and job level

reference rate: an approximate midpoint of the assigned salary range for each job level

salary range: the range of compensation between the defined minimum and maximum salary amounts

REASON FOR POLICY

Pursuant to [UNC General Administration \(GA\) Policy 600.3.4](#), "Granting of Management Flexibility to Appoint and Fix Compensation," this policy establishes market salary ranges for all EPA non-faculty IRPS and SAAO Tier II positions.

ROLES AND RESPONSIBILITIES

Board of Trustees: for EPA non-faculty SAAO Tier II positions, approves salary requests that are both 10% and \$10,000 above the established maximum salary; approves salary ranges for EPA non-faculty SAAO Tier II positions.

Chancellor: for EPA non-faculty SAAO Tier II positions, approves salary requests above the established maximum salary; some of these also require approval from the Board of Trustees.

Dean or Vice Chancellor: for EPA non-faculty IRPS positions, approves salary requests above the established maximum salary

Department Head: for positions assigned to research job families (SSR, HSR, PSR), approves requests for salaries above the established maximum salary

Office of Human Resources (OHR): provides guidance to managers and department heads in assigning job families, job levels, and salary amounts; reviews documented changes to position descriptions to determine if any change in job family or level is indicated; establishes salary ranges for EPA non-faculty IRPS positions; maintains and administers EPA Non-Faculty Compensation Program as well as policies and procedures supporting its implementation.

School/Division Human Resources Officer: provides guidance to managers and department heads in assigning job families, job levels, and salary amounts; reviews documented changes to position descriptions to determine if any change in job family or level is indicated.

Vice Chancellor for Workforce Strategy, Equity and Engagement: for EPA non-faculty IRPS positions, approves salary requests above the established maximum salary; for EPA non-faculty SAAO Tier II positions, approves salary requests above the established maximum salary.

Responsible Office

Office of Human Resources, EPA Non-Faculty

Responsible Officer

Vice Chancellor for Workforce Strategy, Equity and Engagement

RELATED REGULATIONS, STATUTES, AND RELATED POLICIES

[Out-of-Cycle Salary Increase Requests for EPA Non-Faculty](#)

[UNC General Administration \(GA\) Policy 600.3.4](#)

EPA Non-Faculty Salary Structure

Band	Job Family	Level	Min	Reference Rate	Max	Job Family Definition
AA 1	Unused ~ Reserved for Future Use	I		Unused		Positions in this job family are senior-level administrators with University-wide scope and are assigned titles at the level of Associate Vice Chancellor, Associate Provost, and Vice Provost.
AA 2	Associate Vice Chancellors, Associate Provosts, Vice Provosts	II	\$128,100	\$204,900	\$300,400	
A1	Academic Administration/University Programs	I	\$81,800	\$106,300	\$130,900	Positions in this job family typically provide leadership for campus-wide administrative functions and/or unique academic and/or university programs. Positions are typically responsible for the leadership of functions unique to the higher-education setting. Positions in this family also include staff physicians providing clinical healthcare services on campus-wide level (e.g. Campus Health Services)
A2	Academic Administration/University Programs	II	\$109,200	\$152,900	\$196,600	
A3	Academic Administration/University Programs	III	\$125,000	\$187,500	\$250,000	
B1	Business & Finance	I	\$91,800	\$119,400	\$146,900	Positions in this job family typically plan, oversee, and administer all aspects of the business operations and financial functions at the School/College/Division or University-wide level and exercise substantial independent decision making with regard to management and allocation of resources.
B2	Business & Finance	II	\$104,400	\$146,200	\$187,900	
B3	Business & Finance	III	\$125,500	\$188,200	\$251,000	
C1	Clinical Administration	I		Unused		Positions in this job family typically manage all non-medical aspects of a clinical department in the School of Medicine including financial management, revenue management, human resources, sponsored research, facilities, and clinical operations. These positions are typically assigned titles of Assistant or Associate Department Chair.
C2	Clinical Administration	II	\$90,600	\$131,400	\$172,100	
C3	Clinical Administration	III	\$93,200	\$144,500	\$195,700	

The Chancellor or his/her designee may approve exceptions of no more than 10% and \$10,000 above any salary range maximum with appropriate justification. Exceptions which exceed 10% and \$10,000 of any salary range maximum must receive pre-approval of the Board of Trustees (BOT).

EPA Non-Faculty Salary Structure

Band	Job Family	Level	Min	Reference Rate	Max	Job Family Definition
D1	External Affairs/Development	I	\$59,200	\$76,900	\$94,700	Positions in this job family are typically involved in the following: cultivation and solicitation of donors; activities that build and enhance relationships between the University and external constituencies; and development and dissemination of information about the University.
D2	External Affairs/Development	II	\$68,800	\$96,300	\$123,800	
D3	External Affairs/Development	III	\$96,300	\$144,400	\$192,600	
D4	External Affairs/Development	IV	\$132,100	\$211,300	\$290,600	
E1	Human Resources	I		Unused		Positions in this job family typically manage and direct the University's human resources programs including employment and staffing, compensation and benefits, employee relations, and equal employment opportunity. This job family also includes HR leads at the School/College/Division-level when they qualify for EPA status.
E2	Human Resources	II	\$73,900	\$103,400	\$133,000	
E3	Human Resources	III	\$90,700	\$136,000	\$181,400	
F1	Information Technology	I	\$100,200	\$130,300	\$160,300	Positions in this job family typically direct information technology-related functions either at a University-wide level or at the School/College/Division-level when they qualify for EPA status.
F2	Information Technology	II	\$111,400	\$156,000	\$200,500	
F3	Information Technology	III	\$116,900	\$175,400	\$233,800	

The Chancellor or his/her designee may approve exceptions of no more than 10% and \$10,000 above any salary range maximum with appropriate justification. Exceptions which exceed 10% and \$10,000 of any salary range maximum must receive pre-approval of the Board of Trustees (BOT).

EPA Non-Faculty Salary Structure

Band	Job Family	Level	Min	Reference Rate	Max	Job Family Definition
K1	Admissions, Recruitment and Financial Aid	I	\$46,600	\$60,600	\$74,600	Positions in this job family include those that have authority to make admissions or financial aid decisions. Positions in this family focus on developing and implementing programs for student outreach, recruitment, and retention.
K2	Admissions, Recruitment and Financial Aid	II	\$57,400	\$80,400	\$103,300	
K3	Admissions, Recruitment and Financial Aid	III	\$96,800	\$145,200	\$193,600	
J1	Advising, Counseling and Student Support Services	I	\$33,700	\$46,400	\$59,000	Positions in this job family develop, direct and administer services for students and/or faculty that have a direct impact on the educational experience and/or campus life (e.g., career services; student housing; student conduct; student registration and records). Positions in this family also include academic advising & assessment, academic preparation & enhancement and counseling (clinical and developmental) & psychological services.
J2	Advising, Counseling and Student Support Services	II	\$51,200	\$74,300	\$97,300	
J3	Advising, Counseling and Student Support Services	III	\$75,800	\$117,500	\$159,200	
L1	Professional Librarian	I	Unused			
L2	Professional Librarian	II	Unused			
L3	Professional Librarian	III	Unused			
M1	University Attorneys	I	\$87,300	\$120,000	\$152,800	Positions in this job family provide campus-wide legal services.
M2	University Attorneys	II	\$114,200	\$165,600	\$217,000	
M3	University Attorneys	III	Unused			

The Chancellor or his/her designee may approve exceptions of no more than 10% and \$10,000 above any salary range maximum with appropriate justification. Exceptions which exceed 10% and \$10,000 of any salary range maximum must receive pre-approval of the Board of Trustees (BOT).

EPA Non-Faculty Salary Structure

Band	Job Family	Level	Min	Reference Rate	Max	Job Family Definition
O1	Centers & Institute Management	I	\$95,600	\$124,300	\$153,000	Positions in this job family typically manage administrative units (centers and institutes) that promote research, teaching and public service and offer opportunities for faculty and students to engage in cross-disciplinary collaboration and initiatives. Positions are responsible for strategic planning, leadership and management of all Center operations and for the day-to-day programmatic, fiscal, and personnel decisions of the unit.
O2	Centers & Institute Management	II	\$120,000	\$168,000	\$216,000	
O3	Centers & Institute Management	III	\$124,000	\$186,000	\$248,000	
IPS1	Instructional Support, Public Service & Extension	I	\$45,200	\$62,200	\$79,100	Positions in this job family exercise professional expertise and discretion in determining the nature and content of instructional and public-service related activities and evaluation of the effectiveness of such activities; advise faculty and staff on instructional matters and direct or deliver programs which focus or extend the institution's academic resources and/or research products on addressing community, regional and national issues.
IPS2	Instructional Support, Public Service & Extension	II	\$60,900	\$88,300	\$115,700	
IPS3	Instructional Support, Public Service & Extension	III	\$86,100	\$133,400	\$180,800	
SSR1	Social Sciences Research	I	\$30,000	\$41,300	\$52,500	Positions in this job family provide expertise in the design, operation and analysis of research projects in the social sciences. <i>(Disciplines include psychology, sociology, education, and economics)</i>
SSR2	Social Sciences Research	II	\$43,000	\$62,400	\$81,700	
SSR3	Social Sciences Research	III	\$62,100	\$96,200	\$130,400	
SSR4	Social Sciences Research	IV	\$87,700	\$146,900	\$206,100	

The Chancellor or his/her designee may approve exceptions of no more than 10% and \$10,000 above any salary range maximum with appropriate justification. Exceptions which exceed 10% and \$10,000 of any salary range maximum must receive pre-approval of the Board of Trustees (BOT).

EPA Non-Faculty Salary Structure

Band	Job Family	Level	Min	Reference Rate	Max	Job Family Definition
PSR1	Physical Sciences Research	I	\$30,000	\$43,365	\$55,125	Positions in this family provide expertise in the design, operation and analysis of research projects in the physical and computer science field. (Disciplines include biology, chemistry, computing science, physics and astronomy.
PSR2	Physical Sciences Research	II	\$45,125	\$65,520	\$85,785	
PSR3	Physical Sciences Research	III	\$65,205	\$101,010	\$136,920	
PSR4	Physical Sciences Research	IV	\$92,085	\$154,245	\$216,405	
HSR1	Health Sciences Research	I	\$32,700	\$44,900	\$57,200	Positions in this job family provide expertise in the design, operation and analysis of research projects in the medical sciences. (Disciplines include animal science, biology, biochemistry, microbiology, epidemiology, zoology and in some cases chemistry)
HSR2	Health Sciences Research	II	\$49,500	\$71,800	\$94,100	
HSR3	Health Sciences Research	III	\$71,400	\$110,600	\$149,900	
HSR4	Health Sciences Research	IV	\$100,800	\$168,900	\$236,900	
X	Coaches & Librarians					

The Chancellor or his/her designee may approve exceptions of no more than 10% and \$10,000 above any salary range maximum with appropriate justification. Exceptions which exceed 10% and \$10,000 of any salary range maximum must receive pre-approval of the Board of Trustees (BOT).

Spring 2014 – College of Arts and Sciences Update of Faculty Salary Increase Policies¹

Following consultation with the Deans' Advisory Committee, the College of Arts and Sciences asked each department and curricula chair to update or develop their faculty salary increase policies during the Spring of 2014. The updated policies were reviewed by the faculty and submitted to the dean's office by **Friday, April 25, 2014** and subsequently were submitted to the Office of the Provost.

The following are the principles that guided the department and curricular chairs in reviewing and preparing their unit's salary increase policies.

1. The department or curriculum chair is responsible for making salary increase recommendations, as guided by regulations and instructions from the dean. Traditionally, when making salary increase recommendations, chairs have been asked to consider factors such as promotion from one rank to another; distinguished scholarly achievement; distinguished teaching; exceptional departmental or university service; competitive market considerations; compression and equity adjustments; and the importance of individuals to your unit's overall efforts.
2. Merit considerations should be consistent with those specified in the department's personnel policies.
3. Policies should specify whether or not the department will have a merit or salary committee. Chairs hold sole responsibility for making salary increase recommendations to the dean but they should formulate those recommendations by means understood by all faculty within the department or curriculum.
4. Policies should promote the recognition of individual faculty merit.
5. Policies should promote overall qualitative improvements in the unit in the areas of teaching, scholarship or creative activity, and professional service.
6. Policies should provide general guidance to the chair, but should not be overly restrictive so that his or her judgment is unduly constrained.
7. Policies should be reviewed periodically in the unit, at least every five years.
8. Each department or curriculum should have its own written policy on salary increases and the policy must be provided to all faculty in each unit.

¹ Pursuant to the February 7, 2014 instructions to the Arts and Sciences Department and Curricula Chairs from Dean Karen Gil, College of Arts and Sciences

FACULTY SALARY POLICY
University of North Carolina at Chapel Hill
School of Dentistry
Updated 31 July 2003

There are two fundamental phases to developing salaries for faculty in the UNC School of Dentistry. These phases relate to:

- Salary level negotiated at the time of hire;
- Salary increments recommended in the years following the initial hire.

1. Initial Salary Negotiated at the Time of Hire

In the School of Dentistry, the salary level recommended for a new faculty is formalized by the Dean who recommends the new appointment, together with salary considerations, to the University. The level of salary recommended at the time of hire is based upon a consultative process with the specifically involved Chair, as well as many other considerations. These include:

- Qualifications of the new hire
- Experience
- Rank
- Responsibilities to be filled
- Administrative load
- Discipline for which the position is being recruited
- Likely grant activity
- Likely patient care activity
- Market conditions
- National/International standing

In general, when recruiting for new faculty below the level of departmental chair, the Dean takes into account the above-noted salary factors, and consults:

- The specific departmental chair about probable level of salary that may be needed to recruit successfully;
- The existing salary matrix in the UNC School of Dentistry;
- The salary information published annually by the American Dental Education Association
- Deans of other dental schools for further input into current salary norms

During employment negotiations, the Dean consults the Chair as necessary, including considerations pertaining to the salary offer. All departmental chairs receive copies of the

written terms and conditions developed for each new hire in their Department, including all details pertaining to compensation.

2. Annual Salary Increments

Annual salary increments for individual faculty members are recommended by their respective Chairs, who forward the recommendations to the Dean for further approval. Chairs and administrators reporting to the Dean constitute a unit, with the Dean as head, who administers salary increments for Chairs and administrators by the same process as Chairs do for their respective faculty.

Each year the School may be allocated state salary increment moneys based upon legislative recommendation, that is, in turn, implemented through the Board of Governors of The University of North Carolina. Traditionally, the state salary increment for University faculty may be presented as a mix of mechanisms, including: (a) defined, across-the-board or cost-of-living increases, (b) merit increases, and (c), one-time payments. For the purpose of this document, these distinctions will be ignored in the interests of exposition and coherence. Thus, the mix (if any) of mandated increment moneys will be figuratively rolled into one, and described as if it were a single bonus. The division and the allocation to departments and units of the salary increment funds received by the Dean is accomplished after setting aside a salary redistribution holdback of not more than 5% of the total to deal with redistribution and other situations described below under "Other Factors". The net allocation of salary increment funds to a Department or unit is calculated on a "share" basis, computed separately for dental and allied dental education faculty. In terms of annual process, each year any state salary increment allocated to the School, less the redistribution amount, is divided by the number of faculty in the school (dental and allied dental education separately), resulting in average increment figures we call a faculty "share". The Department Chair or unit head receives an amount of salary increment money calculated by multiplying the number of full-time salaries by the value of the share. This process, shaped, honed and polished over many years at the School of Dentistry, has served well. By definition, the process also has had the effect of working to counteract excessive faculty salary discrepancies among departments.

When determining annual salary raises, departmental chairs and unit heads are encouraged to focus on actual salary increment amounts, rather than simply percentage increases.

Chairs and units heads recommend salary increments based upon a careful, formal annual performance review of each faculty member. The evaluation process is based upon performance on three or four (if applicable) specific evaluation parameters. These are (1) Teaching, (2) Research and Scholarship, (3) Clinical Performance in Patient Care (if applicable), and (4) Service to the Department, School, University, State and various other constituencies. These four performance parameters are weighted, and are intended to reflect what we expect faculty to do in order to earn tenure and promotion, as described in the School's Promotion and Tenure Manual. The Manual, as this salary policy, speaks to both tenure and fixed term faculty.

For the Chair to accomplish the annual evaluation, faculty are asked yearly for an inventory of information focusing on: a) teaching responsibilities (didactic, patient care, laboratory); b) student evaluations of that teaching; c) examples of new teaching innovations; d) mentoring of graduate students, including dissertation committee service; e) research activities in both sponsored and non-sponsored categories; f) research publications in the refereed literature; g) other scientific reports; h) refereed abstracts; i) invited scientific presentations and lectures; j) direct patient care activities; k) service activities for the school, the university and the state; l) service activities for state and national government and scientific/professional organizations; m) service in the form of externally offered continuing dental education; n) special awards and recognition.

This evaluation process, refined over many years, results in quantitative scoring that permits the Chair to rank his or her departmental faculty. The performance review for every individual faculty member is discussed by the Chair, the Dean, and 4 Associate Deans representing Academic Affairs, Research, Clinical Affairs, and Administration/Planning. During this latter phase, modifications to the evaluation can be, and frequently are, made.

In the School of Dentistry, Chairs are held to the principle that the salary increments must not contradict the annual, formal performance review for departmental faculty. It is the role of the Dean's office to see that this principle is not ignored.

3. Other Factors in Annual Salary Increment Determinations

There are other factors that will influence decisions on annual salary increments. On occasion, these factors might become operational at non-regular times during the year. Examples of other factors that may influence the annual salary increment are:

- 1 Acceptance of responsibilities in addition to teaching and research;
- 2 Faculty retention consideration;
- 3 Changing market condition;
- 4 Inadequate or restriction in funding source;
- 5 Dealing with growing inequity situations;
- 6 Correcting salary discrimination on the basis of gender or race (this may become obvious through annual University faculty salary equity studies);
- 7 Named professorships.

By and large, consideration of other factors, together with the "shares" approach to allocating funds to departments and units, are the primary ways to reduce institutionally undesirable salary dispersion.

4. Explanation of Salary Increment to Faculty

As is customary in the School of Dentistry, each faculty member must be advised in writing of his/her salary increment, the resulting total salary figure for the academic year, and the percentage increase represented by the increment. As part of the letter, the Chair should tie the increment recommended to the work performance of the faculty member during the past 12 months, and under special circumstances, to longer-term performance (e.g., 3 years) or other mitigating factors described above.

5. Annual Review of Salaries

Salary recommendations are initiated by the Chair and are reviewed and approved by the Dean. The Dean, as well as the University Administration, apply salary reviews that seek to identify salary disparities that should be eliminated immediately, eliminated over a specified time period, or should be retained with a proper explanation for the apparent disparity (or actual lack thereof).

6. Grievance Mechanism

Faculty members who are dissatisfied with the Faculty Salary Policy, with their salary increment, or with their salary level are invited to discuss their concerns with the Dean of the School of Dentistry. If the faculty member fails to find satisfaction, he/she is then advised to appeal, using the University's established grievance procedures.

School of Education Salary Policies

Faculty

Appointments:

Beginning salary based on prior work experience, degree level, and equity within appointment rank.

Increases:

Annual Review by Dean and Associate Dean

- Annual Report submitted by individual (includes information on scholarly productivity, teaching, and service)
- Exceptional service to School initiatives
- Equity within appointment rank

EPA Non-Faculty

Appointments:

Beginning salary based on prior work experience, degree level, and equity among peers.

Increases:

- Often at the Legislative increase rate applied to SPA staff
- Equity among peers
- Outstanding performance

SPA Staff

Appointments:

Beginning salary is determined first on budget availability and approved salary offer. Factors include education, experience, and equity within the School

Increases:

- Legislative increase
- Any approved increases based on availability of funding and current UNC guidelines for awarding increases

Faculty Merit Review Policy:

(Extracted from the School of Education General Policy Manual-Revised April 12, 2013)

This section applies to tenure track faculty and clinical faculty with full-time assignment to the School. Criteria for merit salary increases will be the same as those specified for appointment, promotion, or tenure for tenure track faculty and for fixed term faculty in the School of Education APT manual (e.g., research, teaching, service, leadership). The Dean shall apply these criteria in awarding merit salary increases. Merit increases will be distinct from cost of living increases, and be distributed as: meets expectations=1 share, exceeds expectations=1.5 shares, and outstandingly exceeds expectations=2 shares. The Dean will base decisions on the annual review submitted by faculty, the annual conference with each faculty member, and in consultation with program coordinators and relevant others. At least fifteen percent of the merit pool is reserved to address equity/compression and salary anomalies (e.g., salary/rank/years of service; number of standard deviations from the mean; race and gender).

Faculty Salary Policy
Institute of Government
June 11, 1997, as amended through April 12, 1999

I. Introduction

This document constitutes the faculty salary policy adopted by the faculty of the Institute of Government to provide guidance to the Director of the Institute in making salary adjustment decisions.

Many factors bear on the decision to adjust a faculty member's salary. This policy addresses a wide range of performance categories and offers suggestions for documenting that performance. Faculty members will be required to submit two reports each year—a comprehensive activity report and a summary assessment of overall impact. It is unlikely that in any single year, a faculty member will have substantial activities to report in each category listed. The mix of responsibilities within the Institute is unusual within the University, and a policy that reflects accurately all the different kinds of work that contribute to the success of the Institute must of necessity be broad and include categories of work in which not every faculty member will have activities. The sequential listing of factors is not intended to suggest a priority of importance among the various factors.

To the extent possible, this policy uses measures that can be objectively measured. But salary determinations are only partially objective. They also involve assessments of relative contributions in different aspects of the Institute's work. That assessment must of necessity be subjective. The approach taken by this policy is to provide the Director with the best information possible to make those difficult decisions as rational and objective as they can realistically be expected to be.

The effort to emphasize objective measures does not minimize the importance of assessing the extent to which the faculty member promotes a positive organizational culture in which all these activities occur. That culture values and promotes:

- Ethical sensitivity
- Intellectual integrity
- Reliability, punctuality and responsibility in approaching one's work
- Good judgment that avoids situations that reflect adversely on the Institute or the University
- Commitment to the common good of the Institute, as reflected in a willingness to assist colleagues, teach in other colleagues' classes, working on pan-Institute projects, and doing so in a manner that promotes collegiality
- Good humor
- A demonstrated commitment to professional development

While these characteristics cannot be quantified, they are important to the successful operation of the Institute and the absence of any of these qualities should be considered by the Director in salary decisions.

II. Teaching

Teaching by faculty members will be considered in salary decisions by the director.

Objective measures. In assessing a faculty member's contributions to the teaching function of the Institute, the Director will consider objective measures such as:

- Quantity of teaching
- The number of students in the target audience who choose to participate in class offerings, reviewed over a substantial period of time
- Development of needed new courses
- Service as a mentor or other contributions to the effective teaching of other faculty

Qualitative measures. In addition to these objective ways of looking at teaching activity, the Director will make an effort to assess the quality of the teaching of individual faculty members. That inquiry may include a review of:

- The extent to which the teacher incorporates the latest information and recent developments in a field
- The extent to which the material presented reflects a careful, accurate and systematic analysis of the subject matter field in which the faculty member is teaching
- The coherence, relevance and clarity of the teacher's oral presentations and written classroom materials
- Use of audiovisual aids
- Use of innovative teaching methods
- The extent to which students are engaged by the teacher so they participate fully in the discussions
- Evaluations by students
- Peer reviews
- Emulation of the faculty member's courses elsewhere or use of the teaching materials by others

III. Consulting

Consulting by faculty members will be considered in salary decisions by the director.

The practice of consulting as it applies to the Institute of Government includes a wide range of activities. In its most general terms, it consists of the application of the professional skills of Institute faculty in trying to meet the needs of one of the Institute's clients other than by teaching or publications. Consulting may be intensive and last a long period of time or may involve only a brief contact.

Examples include service as legislative or study commission counsel; conducting retreats; handling phone inquiries or other communications; drafting legislation, rules, ordinances or policies for clients; conducting research on issues on governance, administration or matters in litigation; providing mediation services to governments in conflict; providing staff support to governments proposing consolidation of services or to groups seeking to incorporate a municipality; working with managers and governing

boards to change the organization's culture; and service on committees addressing matters of public concern.

Objective measures. In assessing a faculty member's contributions to the consulting function of the Institute, the Director will consider objective measures such as:

- The quantity of the activity or activities, both in terms of scope of projects undertaken, as well as in overall numbers of consultations
- Tangible work products produced as a result of consulting efforts

Qualitative measures. In addition to these objective ways of looking at consulting activity, the Director will make an effort to assess the quality of the consultations of individual faculty members. That inquiry may include a review of:

- Client evaluations
- Peer reviews (if available)
- Emulation by others of the methods, materials, or approaches taken in the consultations
- Special innovations in the manner or approach taken to providing consulting services
- The extent to which the clients served or their colleagues return to the faculty member for future consultations, measured over a substantial period of time.
- Any awards or other recognition received by the project as a result of the consulting effort

IV. Writing and Publishing

Writing and publishing activities will be considered in salary decisions by the Director. In considering the writing activities of a particular faculty member, both work on writings in progress and the publication of a completed work (in many cases, some of the research and writing on the completed work will have been done in earlier years) will be considered, but emphasis will be placed on works completed in the year for which the salary decision is being made. The range of writing and publishing activities that Institute faculty members engage in is very broad. Writing activities may involve publishing of a substantial book in which the faculty member is the sole author. Sometimes such books involve research and writing by two or more faculty members or other authors. Writing activities may also involve issuance of memoranda, bulletins, or monographs.

Sometimes the writing involves work which is not formally attributed to the faculty member. Examples of that kind of writing include bench books, reports of committees or commissions, substantial revisions to General Statutes, local ordinances or policies, and similar kinds of writing. This kind of writing can also be characterized as consulting. The designation is not as important as the quality and scope of the effort required to produce the work product.

Objective measures. In assessing a faculty member's contribution to the writing and publishing function of the Institute, the Director will consider objective measures such as:

- The number and scope of publications and other writings produced in the year in which the salary decision is to be made
- Published evaluations of written work

- The extent to which the written work is reproduced or cited in other published works or other public records
- Works that are in progress
- Works in which the faculty member serves as editor

Qualitative measures. In addition to these objective ways of looking at writing and publishing activity, the Director will make an effort to assess the quality of the writing of individual faculty members. That inquiry may include a review of :

- The coherence, clarity, and relevance of the written works
- Awards and recognition of the quality of the work by entities other than the Institute
- Special innovations in the presentation of material in published form
- The extent to which the written material reflects original research and creative approaches to existing issues
- The extent to which the written material reflects a careful, accurate and systematic analysis of the subject matter field in which the faculty member is writing

V. Service to the Institute of Government

All the activities of the faculty of the Institute of Government contribute to the improvement of public service in North Carolina. That is the context in which most departments assess an individual faculty member's "service". This category deals with the kinds of service that contribute to the improvement of this institution. The work described here is generally not related to the person's substantive fields of work. Later categories deal with similar efforts to improve the university or one's profession as a whole.

In assessing the degree to which an individual has "served" the Institute of Government, the Director will consider the extent to which the individual participates in the following kinds of activities and the extent to which that participation contributes to the Institute:

- Editing a regular publication of interest to readers in fields other than the faculty member's substantive field(s) (*Popular Government/LRS* are examples)
- Administration of, or assisting the administration of, a program for traditional students unrelated to the faculty member's substantive fields (e.g. intern program)
- Assumption of responsibility for a major course that includes areas outside the faculty member's substantive fields (e.g., municipal/county administration)
- Chairing or serving on a committee that takes a substantial commitment of time and effort
- Assuming responsibility for multi-author publications that serve several client groups
- Assuming responsibility for other administrative projects or assuming general management responsibilities within the Institute
- Any other similar service to the Institute

VI. University Service or Service to the Profession

In the same way that service within the Institute contributes to the effective functioning of the Institute, service to the University and to one's profession also contributes to the improvement of public service in this state and elsewhere.

In assessing the degree to which an individual has "served" the University of North Carolina or one's profession, the Director will consider the extent to which the individual participates in the following kinds of activities and the extent to which that participation contributes to the improvement of the institutions served. That inquiry may include a review of:

- Service as chair or member of committees on this campus or within one's professional organizations
- Working on projects sponsored by the University administration, either on this campus or in General Administration, which are not otherwise a part of the Institute's responsibilities
- Any other service that is relevant to the work of the University or to one's profession
- Service in a leadership role in a professional organization

VII. Significant Career Markers

The Director will consider significant career markers in making salary decisions. Those significant markers include but are not limited to reappointments, promotions, tenure, professional honors or awards that reflect either career or specific achievements, university-wide awards, or election to boards of, or other leadership roles in, national associations.

IX. Impact

Finally, the director will, to the extent that such information is available, consider evidence of any impact the faculty member's work has on the subsequent professional conduct of the clients served. In making this assessment, the Director must assess the extent to which the particular circumstances of a faculty member's relationship to the clients make that kind of evidence likely to be available. It is recognized that this is the most difficult kind of assessment to make, since the work of the faculty member is at best one factor in the determination of how adult learners will conduct themselves. This assessment is complicated further by the Institute's principle of nonadvocacy, since the role of the Institute faculty member is often not to suggest that a particular course of action is to be taken, but is instead to provide an improved basis for the public official to make his or her own judgment.

The fact that impact is difficult to assess and that the information to do so is not always available does not diminish its importance as the highest indicator of the effectiveness of Institute work. Each faculty member should assess whether it is possible to determine the impact of his or her professional activities. A discussion of that assessment should be included in any regular meetings with the Director.

X. Other Factors considered in setting salaries

In addition to the factors already listed, in some instances adjustments need to be made for other purposes. These adjustments are most often made after tentative decisions have been made using the criteria already listed. The factors that most often fall into this category are:

- Equity (some examples are salary differentials that are otherwise difficult to explain that may be the result of discrimination, changing market conditions, or unusually low funding in previous years that worked to the disadvantage of individual faculty members at times of unusual productivity, publications of major works or significant career markers)
- Salary compression
- Impacts of market pressures

XI. Factors not considered

The following factors have no relevance to one's fitness to receive a salary increase, and accordingly are not considered by the Director in making salary decisions:

- Whether the person's Institute work generates revenue
- Personal income, family income, or resources from sources other than the Institute
- Family and other personal obligations or needs
- Leaves of absence
- The source of funding for a person's salary

XII. Annual Reports

Comprehensive Activity Report. To assist the Director in making informed decisions, each faculty member must annually prepare a comprehensive faculty activity report. This comprehensive report must cover the activities developed and listed in this policy (Section II through VII) and the report must be submitted at a time and in a format to be prescribed by the Director. This report should provide a reasonably comprehensive view of individual faculty activities—collectively the reports provide the best information about the total work of the Institute.

Summary Assessment. Each faculty member must also submit a separate report no longer than two pages that assesses the impact of his or her work during the last year. The summary assessment should describe what a faculty member was trying to accomplish (either broadly or in a field or with a particular activity) and then speculate about his or her level of success. It should offer a critical evaluation of a person's work and its impact. The summary assessment may also describe the relationship between past work and future plans. The reports should not summarize the activities contained in the comprehensive faculty activities report.

The Director will then make salary decisions in the short time typically allowed for such decisions based on these reports and all other relevant information, available at the time the decision must be made. That information may include reports of advisory committees appointed for junior faculty members, ad hoc promotion review committees, as well as other sources of information to which the Director may have access.

XIII. Role of Faculty Salary Committee

The Faculty Salary Committee was elected to implement the May 1, 1996 directive of Chancellor Hooker that a committee consisting of faculty members elected by their colleagues be established to "share with you (deans, directors, etc.) responsibility for seeing that each officer of administration who initiates salary recommendations has on file faculty salary policies that are consistent with the Council's recommended principles and implementing mechanisms." The Chancellor's directive also provides that each committee is:

to hear issues concerning the policies or their implementation. I ask that in establishing its committee, your faculty clearly specify the jurisdiction to be assigned to the committee and how it may be invoked, bearing in mind the . . . jurisdiction of the Faculty Grievance Committee.

In accordance with those directives, the committee will meet with the Director annually shortly after salary decisions are made to review the policies and the extent to which they continue to provide appropriate guidance to the Director. In addition, the committee is available to meet with the Director or any faculty member to discuss interpretations of the existing policy, or proposed changes to the policy.

The committee does not have jurisdiction over disputes about an individual's salary. Those disputes are to be handled by the individual involved and the Director. If the dispute cannot be satisfactorily resolved at that level, the appropriate remedy is for the individual to file a grievance with the Faculty Grievance Committee.

If as a result of its annual meeting with the Director, or as a result of a special meeting with the Director or an individual faculty member, or on its own motion, the committee believes that amendments to the policy are appropriate, the committee may propose the amendments to the faculty for discussion and possible adoption.

No amendment to the policy is effective until approved by majority vote of the faculty, and the faculty may vote to amend the policy at any time, on motion of any member of the faculty.

XIV. Election procedures

The faculty salary committee as initially constituted has two members serving two year terms which will expire on November 30, 1998 and two members serving three year terms expiring November 30, 1999. At the expiration of those terms successors will be elected to serve three year terms.

The secretary of the faculty is responsible for insuring that elections are held in the month before the terms of office expire. Notice must be given to all eligible faculty members that they may nominate themselves or another faculty member (whose willingness to serve the nominator has been previously confirmed) for the committee. The secretary must specify a time period during which the nominations are open, and that period must be at least six business days. The secretary must send a ballot by e-mail no later than two business days after the nominations are closed, and allow at least six business days for ballots to be returned.

Each faculty member may cast two votes, and may cast no more than one vote per named candidate. The secretary and the Associate Director for Programs shall count the ballots. The two candidates with the highest vote totals are elected. If three or more candidates tie with the highest number of votes or if there is a tie for the second slot, the secretary shall conduct a runoff election following these procedures as closely as is practicable. The secretary shall announce the winners as soon as possible.

Only faculty members who are classified as voting faculty by the Faculty Code and the Institute Librarian may vote in this election or on adoption of, and subsequent changes to, the salary policy.

XV. Effective date

This policy is effective June 11, 1997 and remains in effect until amended as provided by Section XIII of this policy.

FACULTY SALARY POLICY

1. The Dean determines the faculty salaries in the School of Information and Library Science by taking into account the following factors:
 - a. both long- and short-term indicators of merit;
 - b. multiple criteria of merit, including teaching, research, service, and participation in the life of the School. The Dean's request for documentation for the annual review will be made in early April. Evidence will be provided by the faculty members' curriculum vitae, annual report, and teaching evaluations; following the request and due at an appropriate time specified by the Dean.
 - c. attention to actual salary levels, not only percentage amounts of increases;
 - d. inequities resulting from changing market conditions, inadequate funding, compression due to disparity between internal rates of increase and competing offers, and any other inappropriate disparities;
 - e. for faculty members who also serve as administrators, excellence in performance of administrative duties, with regard to the portion of salary not attributable to regular faculty duties.
2. The faculty will elect a committee of four, one from each rank of assistant, associate, and full professor, and one from the fixed-term faculty. Each member shall serve three years. The terms of appointment are such that each year at least one member of the committee rotates off. In the event that a member goes on leave, receives a promotion, or is otherwise unable to finish his or her term, a special election shall be held to fill the unexpired term. For all elections, the continuing members of the committee will call for nominations by the faculty. The two faculty members receiving the most nominations will be the candidates for the election.
3. The committee:
 - a. shall ensure that the written salary policy is on file and is available for convenient review by the faculty;
 - b. will receive from the Dean normally by October 1 of each year a list of all faculty members, their salary increases and percentage increases for the current fiscal year;
 - c. may review salary increases and may consult the Dean about any trends that do not appear to follow the written salary policy;
 - d. may indicate to the Dean any perceived inconsistencies;
 - e. will appraise the Dean's performance in implementing salary policies for which she/he has direct administrative responsibility as part of the regular evaluation of the Dean.
 - f. will report to the faculty the results of their review.

4. The committee and the Dean invite faculty members to submit at any time comments and recommendations on the overall salary policy. Formal and informal discussion are appropriate in regard to development and refinement of the School's faculty salary policy.
5. At a faculty meeting every other year, the faculty will review the written faculty salary policy to determine whether revisions in the policy are needed. In the interim the Dean and the committee may consult to determine whether changes in the School policy are needed. Suggestions will be brought to the faculty. Any revisions in the policy will be voted on by the faculty.
6. Each faculty member is encouraged to discuss with the Dean on an individual basis his or her progress relating to merit factors. Junior faculty shall meet with the Dean semi-annually to discuss performance expectations and goals. All faculty shall meet with the Dean during the academic year for an annual review. A portion of the annual review should be devoted to the discussion of progress relating to merit factors. Any faculty member who has a specific complaint about his/her salary adjustment should follow the established University grievance procedure.

School of Journalism and Mass Communication Faculty Salary Policy

The School is committed to conducting fair evaluations of faculty members with criteria applied evenly and to ensure that salary allocations are justified on the grounds of merit and/or equity.

1. The dean determines faculty salaries in the UNC-CH School of Journalism and Mass Communication by taking into account the following factors:
 - a. Both long- and short-term indicators of merit;
 - b. Multiple criteria of merit, including scholarship, teaching, service, innovation, creativity and participation in the life of the School as evidenced in materials such as the faculty members' curriculum vitae, the School's annual report and teaching evaluations ;
 - c. Attention to actual salary levels, not only percentage amounts of increases;
 - d. Inequities resulting from changing market conditions, inadequate funding, discrimination (if any), compression because of disparity between internal rates of increase and competing offers, and inappropriate disparities arising from other sources;
 - e. For faculty members who also serve as administrators, such as associate deans or chairs of special programs, excellence in performance of administrative duties with regard to the portion of salary not attributable to regular faculty duties;
 - f. No discrimination on the basis of tenure track, be it professional or research.
2. The faculty will elect a committee of four faculty members at a regularly scheduled faculty meeting in spring 1997 to serve as the first committee. The first year two members will serve one year and two members two years. Every year after the first year, two new members will be elected. Each member will serve two years; the term will begin July 1 each year. The committee will elect its own chair.
3. The committee:
 - shall ensure that the written salary policy is on file and is available for convenient review by the faculty.
 - will receive from the dean by Oct. 1 of each year a list of all faculty members, their salary increases and percentage increases for the current fiscal year.
 - may review salary increases and may consult the dean about any trends that do not appear to follow the written salary policy.
 - after consultation with the dean may indicate to the dean any perceived inconsistencies but will not serve as an inhouse grievance committee.
 - will keep on file up-to-date information about salaries at peer universities and in Arts and Sciences and in other professional schools on the University campus.
4. The committee and the dean invite faculty members to submit at any time comments and recommendations on the overall salary policy. Formal and informal discussion are appropriate in regard to development and refinement of the School's faculty salary policy.
5. At the faculty meeting where committee members are elected each year, the faculty will review the written faculty salary policy to determine whether revisions in the policy are needed to ensure that it remains consistent with general faculty salary principles in effect within the University as a whole. In the interim the dean and the committee may

consult to determine whether changes in the School policy are needed. Suggestions will be brought to the faculty. Any revisions in the policy will be voted on by the faculty.

6. Each faculty member is encouraged to discuss with the dean on an individual basis his or her progress relating to merit factors. Any faculty member who has a specific complaint about his/her salary adjustment should follow the established University grievance procedure.



UNC
KENAN-FLAGLER
BUSINESS SCHOOL

Memo To: Stephanie Thurman, Office of the Provost, CB 3000
From: John P. Evans, Interim Dean *John P. Evans*
Date: December 10, 2013
Subject: Faculty Salary Policy for Kenan-Flagler Business School

The purpose of this memorandum is to describe the procedures and processes that Kenan-Flagler Business School uses to establish faculty salaries.

Initial Salary

For a new hire faculty member the initial salary is based on the individual's qualifications (e.g. educational preparation, productivity and accomplishments in research, teaching, and service, professional experience, and national or international standing), the rank at initial hiring (e.g., holding a named professorship), administrative load, teaching load, equity considerations within the School, market conditions, and other relevant factors. The Senior Associate Dean leads all salary negotiation efforts for the school.

Annual Reviews

Kenan-Flagler Business School assesses all salaries during the annual review process, which occurs in May and June of each year. The school uses a standard format for annual reporting of performance on areas of research, teaching and service. Materials are submitted to the Senior Associate Dean's Office and include: a vita and a summary of his/her activities over the last two years; a list of courses s/he will teach during the upcoming academic year, and specific research and teaching goals for the next year. The Senior Associate Dean meets with area chairs in an overview meeting to review faculty performance in their area. The Senior Associate Dean and the area chair meet with each faculty member to discuss the assessment of his/her performance. The Senior Associate Dean then prepares a written evaluation and sends to the area chairs for input. Once finalized, the written evaluation is sent out to each faculty member.

Salary Adjustments

An annual performance assessment is a key factor in salary setting considerations. Other factors include, but are not limited to, the following: retention concerns, changes in either teaching or administrative responsibilities, salary compression/area equity, promotions, and market changes at peer institutions. The school uses AACSB survey data as a source of market data for comparative salary information at peer institutions. These survey data include the distribution of salaries by

academic area and rank, and can be obtained for groups of business schools that also differ in ranking. These data change each year.

Contingent on the availability of funds and based on the applicable salary setting guidelines/requirements for that year, the Senior Associate Dean develops salary recommendations considering all factors specified above, along with input from the Area Chairs. The Senior Associate Dean presents these recommendations to the Dean, and works with the Associate Dean of Business and Operations to implement. The School follows the instructions, limitations and conditions for salary adjustments as determined by the North Carolina General Assembly, UNC Board of Governors, as well as the Offices of the President, Chancellor, and Provost.

Each faculty member receives his/her new salary amount in writing.

UNC Law School Faculty Salary Policy

1. Faculty salaries at the UNC School of Law are set by taking into account *inter alia* the following factors:
 - a. Both long and short term indicators of merit
 - b. Multiple criteria of merit (including scholarship, teaching and service)
 - c. Attention to actual salary levels, not only percentage amount of increases
 - d. Inequities resulting from changing market conditions, inadequate funding, discrimination (if any), compression due to disparity between internal rates of increase and competing offers, and inappropriate disparities arising from other sources.
 - e. For faculty members who also serve as administrators, excellence in performance of administrative duties with regard to the portion of salary not attributable to regular faculty duties.
2. Salaries are set by the dean, at his or her discretion, taking into account the factors identified in paragraph one of this policy. The dean periodically invites faculty members to submit comments and recommendations concerning the overall salary structure and strategies for appropriate allocating of available salary funds. The dean also encourages each faculty member to discuss on an individual basis the progress of the faculty member relating to merit factors and the mission of the law school during annual meetings between faculty members and the dean held each spring and summer.
3. Each fall, following authorization by University authorities, the dean distributes information to all permanent members of the law faculty about the general basis on which salary increases were allocated and a list of faculty salaries for the coming academic year. The dean also entertains comments and questions from faculty members about this information upon request.
4. The dean, in consultation with the faculty, is responsible for formulating a written policy to guide recommendations for faculty salaries and salary increases. Consultation between the dean and the faculty regarding the development of law school salary policy takes place through both formal and informal meetings with individual faculty, and on a group basis through discussion without formal voting at such faculty meeting as are considered appropriate by the dean and the faculty.

**Faculty Salary Policy
UNC-Chapel Hill School of Medicine
April 2004**

GENERAL. The School of Medicine philosophy towards setting faculty salaries is grounded in the concept of reward for meritorious service, in all aspects of the School's mission. Factors such as longevity (time in rank) play a relatively minor role, and impermissible factors such as gender, ethnicity, age, or marital status, are viewed as having no role to play in salary determinations. To the extent permitted by available financial resources, all Departments are expected to work towards or maintain average salary profiles by academic rank that approximate mean salaries by rank and discipline at all U.S. medical schools. This in no way implies, however, that individual faculty have an entitlement to any given salary level.

PROCESS. Establishing the salary level of newly hired faculty and recommending salary adjustments in subsequent years is a core responsibility of Department Chairs in the School of Medicine. Financial resources permitting, Chairs are expected to maintain salary patterns that are sensitive to the discipline-specific labor market; enable the recruitment and retention of high quality faculty; and promote good morale and sense of fair treatment amongst the faculty. The Chairs annually recommend salary levels for their faculty to the Dean for review and endorsement. Following annual approval of faculty salary recommendations by the UNC Board of Governors, Chairs are expected to formally notify faculty individually of their total annual salary for the fiscal year in question. Faculty members who may have concern about their salary level are encouraged first to seek clarification from their Division Chief and/or Chair; if unsatisfied with this step, continuing concerns may be communicated to the Dean for further consideration. Faculty also may communicate salary concerns to the School's faculty salary equity review committee (see below).

CRITERIA. The factors to be considered by Chairs in making faculty salary recommendations are expected to vary according to the primary duties assigned to the faculty member. These performance expectations are outlined at the time of initial faculty appointment, and are adjusted periodically thereafter to reflect both the changing interests of the faculty member and the programmatic needs of the Department. Chairs are expected to objectively assess each faculty member's actual accomplishments/productivity against each individual's performance expectations not less often than annually, and to provide direct feedback to each faculty member in conjunction with salary adjustment recommendations. Where applicable, Chairs' salary recommendations will include consideration of teaching effectiveness; scholarly accomplishments as measured by peer review processes (i.e., extramurally-funded grants and contracts, publications in refereed journals); success in securing extramural support via grants, contracts, and/or clinical service receipts; professional recognition via election or appointment to recognized national or international organizations; exemplary clinical services activity; good citizenship through service to the Department, School, or University; salary adjustments necessary to assure desired retention of faculty members under recruitment by others; and internal equity among groups of otherwise similarly-situated individuals in the Department.

SALARY EQUITY REVIEW. For over twenty years the School of Medicine has employed a faculty-led process for the annual review of the salaries paid to all full-time and part-time faculty. Recently modified in form, the School's current committee is comprised of six non-Chair senior faculty (four female, two male). Using comprehensive internal salary data and published external benchmarking data, the committee scrutinizes the salaries of all faculty in all 27 Departments with the aim of identifying instances of potential salary inequity amongst like subsets of faculty (e.g., assistant professors with M.D. degree, associate professors with other doctoral degrees). Should such cases arise in a particular Department, they are brought in writing to the attention of the concerned Department Chair and the Dean. The Chair is required in turn to respond in writing to the Dean, providing explanation/justification for the salary in question or the Department's plan for remedying any instance of salary inequity. Any such salary adjustments must be reflected in the Department's financial planning for the following fiscal year.

UNC-Chapel Hill School of Medicine CLINICAL FACULTY COMPENSATION PLAN

January 1996

Revised - January 2001, June 2006, July 2008, April, 2009

I. Introduction

Because academic health centers and the US health care system continue to evolve in complex and often contradictory ways, more than ever a flexible clinician faculty compensation methodology is essential. An effective Clinical Faculty Compensation Plan (“the Plan”) requires flexible implementation of remuneration, allowing for timely alterations in the form of both increased and decreased compensation as changing financial conditions dictate or allow.

Since the prevailing salary levels of clinical faculty result from the unique clinical earning capacity of physicians and other clinicians, such salaries must be responsive in turn to the current revenues available to the clinical departments of the School of Medicine. In order to cope with existing and anticipated changes in reimbursement, it is essential that alterations be made in the way in which clinical faculty salaries are paid within the School. A system must be instituted which allows the School to alter salaries sufficiently to respond to changing economic conditions. Of equal importance, since most of the income in the School of Medicine is based on clinical receipts and research grant and contract awards rather than on appropriated state dollars, there must be an ability within the faculty compensation system to reward adequately the most highly productive members of a department.

This Plan updates and refines the Clinical Faculty Compensation Plan approved by the Board of Governors in January 1996, and revised in 2001. The Plan’s goal is to maintain the long term financial solvency of the UNC School of Medicine while encouraging excellence in teaching, research, clinical service and administration through incentive mechanisms. Recognizing that the departments within the School of Medicine may vary both in culture and in the type of health care services provided, the Plan allows an individual department to choose from a menu of clinical compensation strategies the approach that works best for that department.

II. Plan Summary

Each clinical faculty member will have a guaranteed base salary, set as described below. The faculty member will have total compensation that will consist of (1) the base salary and (2) a productivity component. The productivity component will be derived based as applicable on consideration of historical personal clinical productivity and on productivity in non-clinical duties such as research, teaching, administration and service. The total compensation may be increased or decreased from year to year based on either the individual's personal clinical productivity, on the individual's performance in teaching, research, clinical service and administration, and on the overall financial status of the department, and shall be consistent with the Board of Governors salary policies.

III. Faculty Covered by Plan

This Plan is designed to apply to all faculty members in School of Medicine clinical departments who are engaged in patient care, including fixed-term clinical faculty where consistent with the terms of their letters of appointment.¹ Compensation for non-clinical faculty appointed to clinical departments who are not covered by this Plan shall be determined as provided by the School of Medicine Basic Science Faculty Compensation Plan. However, for special categories of faculty employee, including but not limited to visiting faculty, part-time faculty, and faculty who are hired on the assumption that their employment will be temporary, a Chair may, with approval of the Dean, determine at appointment that the faculty member's compensation will be determined independent of the provisions of this Plan or of the School of Medicine Basic Science Faculty Compensation Plan.

Where a faculty member's duties have changed sufficiently, he or she may with agreement of the Chair convert from this Plan to the School of Medicine Basic Science Faculty Compensation Plan, or from that plan to this Plan (subject to the foregoing provision regarding employees such as part-time, visiting and temporary faculty members). In addition, an individual department may provide that faculty members engaged in patient care at less than a minimum threshold over a specified period, as specified in the departmental implementation plan, may be removed from clinical assignments and declared ineligible for coverage by this Plan. In such cases the faculty member's base salary may be adjusted to reflect his or her assigned duties. He or she will otherwise be eligible for productivity-based compensation as determined under his or her home department implementation plan. Reinstatement of the faculty member to clinical duties and to coverage by this Plan shall be within the discretion of the Chair.

¹ Effective immediately, appointment letters for School of Medicine fixed term faculty shall include a statement that their compensation shall be set as provided by the applicable School of Medicine compensation plan.

IV. Plan Components

A. Overview of Components

Each clinical department faculty member subject to the Plan will have a total annual compensation for the fiscal year comprised of two components: the base salary and the productivity components.

The base salary will be effective for one fiscal year, will be determined during the annual budget process by Chairs (or their designees) with the agreement of the Dean, and will be established for the fiscal year subject to conformity with the University's Board of Governors salary policies.² The base salary will be based on the previous year's earnings and expenses of each department and/or division or other operating unit, and on the individual faculty members' productivity and excellence in teaching, clinical performance, research and administration. Information describing the charges for each covered faculty member will be supplied quarterly by the UNC P&A to the Chair of each department to aid in the determination of clinical productivity.

The Department Chair will inform the faculty member in writing of his or her base salary for the upcoming fiscal year once that salary has been approved in writing by the Dean. Changes in the base salary will not be processed without documentation that the Dean has approved the salary.

The base salary component may consist of any appropriate combination of state appropriations, income from contracts and grants, AHEC salary support, endowment or other trust fund income (including funds allocated for approved academic leave), and funds from clinical income and shall be calculated in accordance with the parameters set forth in Section IV B, below. The productivity component may consist of any appropriate combination of income from contracts and grants, AHEC salary support, endowment or other trust fund income (including funds allocated for approved academic leave), and funds from clinical income, but adjustments in the productivity cannot be based solely upon receipt of or termination of a federally sponsored research grant. The productivity component shall be calculated in accordance with the parameters set forth in Section IV. C., below. State appropriated funds generally will not be included in the productivity payment component.

In addition to the base salary and productivity components, where funds are available the School may award faculty members subject to this Plan an annual, non-recurring bonus. As determined by the Dean, such bonus compensation may be paid in equal amounts to all faculty members subject to this Plan, or it may be set by reference to

² The Board of Governors annually approves salary caps for School of Medicine clinical faculty, by department. Faculty salaries cannot exceed the stated caps without permission of the General Administration.

merit criteria defined at the beginning of the fiscal year by the Dean upon approval by the Office of University Counsel.

Total compensation to any faculty member in any fiscal year, including any supplements, will not exceed the salary ceilings approved by the Board of Governors of the UNC System. **In no event will any component of faculty compensation be set by taking into account the volume or value of referrals made by the individual faculty member to the University of North Carolina Hospitals or to the School of Medicine for ancillary services.**

B. Base Salary

The base salary can be increased or, with approval of the Dean, it can be adjusted downward, but it cannot be adjusted below the minimum base salary. The minimum level to which a base salary may be reduced will be set uniformly by academic rank throughout the clinical departments in the School of Medicine. When it is anticipated that a faculty member's base salary will be reduced, the chair will write the faculty member to inform him or her of the planned reduction and the basis for same, and the faculty member shall have a period of not more than twenty calendar days from the date of the chair's notice to submit a written response stating why the proposed reduction is unwarranted. The chair and Dean will consider information provided by the faculty member in making final base salary determinations.

This minimum salary level will be set uniformly by academic rank throughout the clinical department faculty, and will be adjusted at least every three years based in part on changes in state EPA salary dollars provided to the departments during that time. The minimum salary level will be prorated where a faculty member is appointed for less than full-time effort.³

C. Productivity Component

The productivity component should reflect an assessment of the faculty member's clinical productivity and as applicable his or her productivity in teaching, research, administration and service. Faculty who serve as directors of centers or institutes internal to the School, or as department chairs will be eligible for a variable component enhancement in their administrative supplements for such service, under separate criteria and procedures developed and administered by the Office of the Dean.

³ As of June, 2006, each faculty member already subject to this Plan was to receive his or her current minimum salary, which could not be increased until it was equaled by the minimum salary for faculty members of equivalent rank.

1. Initial Productivity Component

For faculty members hired following adoption of this Plan, the Department Chair will determine an initial productivity component based upon consideration of the faculty member's projected clinical productivity and of the availability of funds other than those allocated to paying base salary for the faculty member, such as sponsored research grants and contracts, start-up funds, endowed professorship funds, etc.

2. Subsequent Calculation of Productivity Component

Each departmental plan will provide for determination of the Productivity Component of a clinical faculty member's total annual compensation by adjusting the faculty member's Initial Productivity Component (and in subsequent years the faculty member's current Productivity Component) through:

(a) Calculation of a Non-Clinical Activities Productivity Component, taking into account the faculty member's productivity and merit, in the calendar year preceding the year during which the assessment is made, in research, teaching, administration⁴ and service, as applicable, as compared with past performance and in light of the standards of the department; and

(b) Calculation of a Clinical Productivity Component arrived at by consideration of the faculty member's clinical productivity based on measurable criteria. Such criteria may include increases in productivity compared with the last three years' average, on rank in productivity compared with peers, as set out in Appendix A to this Plan, or another methodology adopted in an approved departmental plan adopted pursuant to Article V below.

The Productivity Component will be paid not more frequently than quarterly, and may not be paid unless the individual faculty member has met or exceeded productivity goals defined in advance by the chair consistent with the departmental implementation plan. In all cases, the formula whereby the Productivity Component will be calculated must be set out in advance of the fiscal year for which such payments are to be made. Department Chairs' (or their designees') recommendations to provide productivity payments must be approved in advance by the Dean, taking into consideration the current overall financial condition of the department or other operating unit.

3. Reductions in Productivity Component

A faculty member's Productivity Component may be reduced where, under the methodologies adopted by his or her department, the faculty member's productivity in the period used by the Department or Division to evaluate productivity is determined to have decreased. A chair may, in his or her discretion, recommend that the Productivity Component not be reduced in light of mitigating circumstances to be set forth in detail

⁴ This productivity component shall not be based upon productivity in administrative duties as a chair or as a center or institute director, which are to be compensated through a separate policy and procedures.

in a memorandum to the Dean. In such cases the Dean shall make the final decision regarding whether to reduce the faculty member's Productivity Component.

D. Department- or Division-Wide Salary Reductions

Because of departmental or divisional financial conditions, the Department Chair with approval of the Dean may lower the total base salaries for all faculty members covered by the Plan in the department or in a specific division of the department by not more than fifteen percent (15%) of their then-current total base salaries. Such adjustments must be made at the same rate for all affected faculty members.

V. Departmental Implementation Plans

Each department of the School of Medicine having faculty subject to this Plan shall adopt a departmental implementation plan setting out the department's specific approach to implementing the compensation arrangements authorized by this plan. As appropriate, divisions within departments may adopt their own plans, subject to approval by the Chair. Each departmental or divisional implementation plan should spell out in reasonable detail the criteria to be followed in establishing individual faculty members' total annual salary. No departmental or divisional implementation plan, or any amendment of such a plan, may take effect unless first approved by the Office of University Counsel and the Dean. The Chair of each department shall be responsible for implementing the departmental and divisional implementation plans and shall inform the department's faculty in writing of these criteria and methodologies not less often than annually.

VI. Departmental Reserves

Departmental reserves are essential to the financial viability of the School of Medicine and it is the responsibility of the Dean of the School of Medicine and his designees to monitor departmental finances and intercede if a department appears at risk of financial insolvency.

As a general guideline, departments should strive to maintain reserve balances equal to three months of UNC P&A operating expenses, based on the most recent fiscal year, and it is the goal of institution that the average for all departments will be at this level. It is expected that reserve balances will be higher in some departments than others based on many factors, and that over time the relative levels of departmental balances may change.

There may also be circumstances in which a department uses its reserves to fund program development. It shall be the responsibility of the chair to report issues of financial concern to the Dean, when requested and as frequently as on a monthly basis. If a department is deemed to be in financial exigency, the Dean, or a committee he appoints, together with the President and COO of UNC P&A, will develop a plan for financial recovery, together with the chair of that department.

Under certain circumstances a Chair may determine that it is in the best interest of a department and the School to allow the department to operate for a limited period of time with a trust fund balance which is below the minimal desired reserve without adding funds to the reserve, or further depleting the reserve, or to run a deficit budget when there are adequate funds to support the deficit. This can be accomplished after a detailed budgetary justification including specific measures aimed at extricating the department from its deficit spending posture, has been presented to the President and COO of UNC P&A, and subsequently approved by the Dean.

VII. Special Situations

If there is disagreement between a faculty member and Chair regarding the annual salary established for that faculty member, and all reasonable efforts have been made by the faculty member to reconcile the difference of opinion within the department's or other operating unit's customary dispute resolution procedures, the faculty member can appeal to the Dean. At the Dean's discretion, appeals will be evaluated either personally by the Dean or by a committee established by, and advisory to, the Dean. However, disagreements between a faculty member and a Chair over across the board salary alterations within a department or division, which are based on overall departmental or divisional financial performance, cannot be appealed under these provisions. Nothing herein in any way deprives any faculty member of any grievance or appeal rights otherwise available to all faculty members under University faculty policies, including the Trustees Policies and Regulations Governing Academic Tenure at UNC-CH.

VIII. Salary Adjustment Procedures

Approval of this Plan by University authorities signifies explicit authorization for adjustment of individual faculty members' total compensation payments by Department Chairs (or their designees) as described above, if and as warranted. No separate process shall be required for advance approval by the University or the Board of Governors of downward salary adjustments, either individually or on a departmental or divisional basis. Upward adjustments will be congruent with the Board of Governors salary policies, but otherwise shall not require advance approval. Any salary adjustments as may be implemented shall be reported annually to the Chancellor and the President following the close of the fiscal year. All aspects of clinician faculty salary administration in the School of Medicine shall be fully in accordance with the Rules, Regulations, and Policies of the Division of Health Affairs of UNC-Chapel Hill ("Health Affairs Code").

Each year during the budget planning process for the following fiscal year, each chair will make a projection of the total funds expected to be available for faculty salary compensation in the coming fiscal year. The chair will recommend to the Dean a proposed split of salary for faculty subject to the Plan between base salary and productivity component payments.

SAMPLE METHODS FOR EVALUATING CLINICAL PRODUCTIVITY

(i) **WRVU Production-Based Methodology.** This methodology compares work relative value units (WRVU) generated by the faculty member for the Index Year, which shall be the calendar year preceding the year during which the computation is made, with an average of the preceding three years' WRVU for the faculty member. By way of illustration, a faculty member's WRVU data for the period January 1—December 31, 2007 would be compared with the average of his or her WRVUs for the calendar years 2004, 2005 and 2006 to determine the clinical portion of his or her Productivity Component for the Fiscal Year beginning July 1, 2008.

A grouping and dollar paid for the variance are assigned as follows (Clinicians with 0-100 WRVU production in the most recent fiscal year are excluded from the guideline):

Grouping	Index Year WRVUs variance	Dollar paid per WRVU
1	<500	\$5
2	500-999	\$10
3	1,000-1,999	\$15
4	>2,000	\$20

To calculate the clinical portion of the Productivity Component, the dollar value per WRVU is multiplied by the variance between the Index Year and the three-year average of WRVUs. Clinicians who demonstrate no increase in the Index Year do not qualify for an increase in the clinical portion of the Productivity Component and may be subject to salary reduction (see below). Only increases over \$1,000 will be awarded because of the administrative cost of processing small dollar increases. The maximum possible increase will be \$50,000, in order (1) to offset the effect of high production augmented by output from residents or physician assistants or of billing issues that inflate the production of the clinician and (2) to avoid undue financial hardship for departments.

Clinical productivity of clinicians with less than three years of WRVU data will be assessed by other mechanisms consistent with this Plan.

(ii) **Medical Group Management Association (“MGMA”) Comparison Methodology.** This methodology compares the clinician to his/her peers through a calculation of performance compared to maximum performance reported in the MGMA data (90th percentile.) The percentage that the individual clinician achieved is then compared to the scale below, resulting in an adjustment to the clinical portion of the Productivity Component.

% of maximum MGMA RVUs	Dollar paid per WRVU above % of maximum MGMA RVUs
>50%	\$25
Btw 45% and 50%	\$20
Btw 40% and 45%	\$15
Btw 35% and 40%	\$10
Btw 30% and 35%	\$5
<30%	\$0

Clinicians who demonstrate no increase in the Index Year do not qualify for an increase in the clinical portion of the Productivity Component and may be subject to salary reduction (see below). Only increases over \$1,000 will be awarded because of the administrative cost of processing small dollar increases. The maximum possible increase will be \$50,000, in order (1) to offset the effect of high production augmented by output from residents or physician assistants or of billing issues that inflate the production of the clinician and (2) to avoid undue financial hardship for departments.

UNC-CH School of Medicine
BASIC SCIENCE FACULTY COMPENSATION PLAN

2009 Revision

(Originally Submitted to UNC Board of Governors Nov. 11, 2006)

Compensation of basic science department faculty in the School of Medicine at the University of North Carolina at Chapel Hill was previously defined as a single component annual salary. Salary modifications were implemented only on an annual basis, and although warranted salary adjustments were possible as funding sources changed, they were accomplished with difficulty. Although this compensation approach may be appropriate in much of the state system where the bulk of the compensation comes from state-appropriated funds, a large fraction of the salary for basic science department faculty in the School of Medicine is derived from alternative sources, primarily extramural research grants. The goal of this plan is to allow faculty members to be appropriately rewarded for their activities using a multi-component system, while maintaining fiscally sound policies in their respective departments. Similarly, this plan should serve as a tool to encourage faculty productivity by allowing for decreases in compensation where faculty members fall short of stated expectations.

The outstanding faculty of the School of Medicine is a significant asset to the State of North Carolina. They educate our future physicians, researchers and teachers. They bring luster to the State and international recognition through their work. This plan provides a tangible mechanism for recognizing and rewarding the extra efforts they contribute to all of the School's missions.

Faculty covered by this plan include all tenure-track and tenured faculty in the basic science departments, as well as tenure-track and tenured basic science faculty in clinical departments who are not otherwise covered by the School of Medicine Clinical Faculty Compensation Plan. Compensation for faculty appointed in a basic science department who are engaged in patient care may be set pursuant to the School of Medicine Clinical Faculty Compensation Plan in the discretion of the Chair and as set out in a written departmental implementation plan adopted as specified below and approved by the Dean and Office of University Counsel.. This plan also covers fixed term faculty members except where such coverage is inconsistent with a faculty member's letter of appointment to University employment.¹

SUMMARY

Each faculty member will have a total annual salary recommended by the department chair to the Dean of the School of Medicine each fiscal year. It will consist of (1) the base salary and (2) a variable component, which together comprise the total annual salary. The total annual salary may increase or decrease from year to year based on the individual's productivity and excellence in teaching, research, and service, and shall be consistent with Board of Governor's salary policies. The actual funding sources used to pay these components of a faculty member's total compensation in any given year may vary over time.

¹ Effective immediately, appointment letters for School of Medicine fixed term faculty shall include a statement that their compensation shall be set as provided by the applicable School of Medicine compensation plan.

Base salary. The base salary will be set by the Chair annually or when a faculty member is hired. There is a floor base salary below which no faculty member's compensation can fall. This floor base salary will be set uniformly by academic rank throughout the basic science faculty, and will be adjusted not more frequently than annually but at least every three years based in part on changes in state EPA salary dollars provided to the departments during that time. Recommended adjustments will be forwarded by the Dean, School of Medicine, through the University and UNC System leadership to the Board of Governors for approval.

Increases in this salary component for an entire department in any given fiscal year will not exceed the amount of increase in state EPA salary funds for that year. As is currently the case, the increase in EPA state funds can be allocated by the chair in the best interests of the department and consistent with sound fiscal policy. Faculty can also expect an increase in their base salary following promotion to the rank of Associate Professor and to Professor, subject to availability of funds.

Variable Component. Excellence in teaching, research, and service (at the University, state and national level) is expected from all faculty members. However, in recognition of exceptional performance in these areas, faculty can be further rewarded by a variable salary component. The amount of the variable component will take into account the overall excellence of the faculty member in teaching, research, and service as well as the financial circumstances of the department. Excellence in teaching or service can take many different forms; for example in recognition of teaching awards, outstanding service as course director, director of graduate studies, director of core facilities, or distinction at the state and national level. Faculty who serve as directors of centers or institutes internal to the School, division chiefs, or department chairs will be eligible for a variable component enhancement in their administrative supplements for such service, under criteria and procedures developed and administered by the Office of the Dean.

To be eligible for a variable component based on research, the faculty member will be evaluated by criteria that include: quality of research publications, national and international recognition, extramural funding to support the research program, and other criteria individual departments wish to include. One component of eligibility for a variable component based on excellence in research is that faculty would be expected to exceed the target for percent of salary earned from external sources, set by their department for their rank. The target level for participation is expected to increase with faculty rank. For faculty whose salary is above the NIH cap, the target salary percentage will be calculated against total salary from all sources.

Salary Adjustments:

As with all salary adjustments, the Department Chair determines the salary adjustment each year, based on available funds and the performance of the faculty member. Annual adjustments to the salary will be recommended by the chair in consultation with the faculty member. The total annual salary can be adjusted upward reflecting changes in grant funding, teaching performance, and other responsibilities.

The base salary is expected to be a relatively stable component of the total annual salary, with annual adjustments to participating faculty salaries largely occurring in the variable component. The variable component of the total salary can be adjusted either upward or downward each year. In addition, the base salary can be adjusted downward, with approval of the Dean, but cannot be adjusted below the minimum base salary. When it is anticipated that a faculty member's base salary will be reduced, the chair will write the faculty member to inform him or her of the planned reduction and the basis for same, and the faculty member shall have a period of not more than twenty calendar days from the date of the chair's notice to submit a written response stating why the proposed reduction is unwarranted. The chair and Dean will consider information provided by the faculty member in making final base salary determinations. Increases to the base salary will generally reflect increases in state EPA funds available to the department each year, although such adjustments will be distributed by the chair based on faculty performance and promotion, rather than "across the board" distributions unless otherwise stipulated by the Board of Governors.

Because of departmental or divisional financial conditions, the Department Chair with approval of the Dean may lower the total base salaries for all faculty members covered by the Plan in the department or in a specific division of the department by not more than fifteen percent (15%) of their then-current total base salaries. Such adjustments must be made at the same rate for all affected faculty members.

Both the base salary and the variable component should be adjusted annually. However, mid-year adjustments in the variable component will be allowed if deemed necessary and appropriate by the department chair and approved in advance by the Dean, but salary cannot be adjusted solely based upon receipt of or termination of a federally sponsored research grant. Mid-year adjustments are also subject to approval by the Provost, and generally are permitted only on grounds of salary inequity corrections, retention, or change in duties.

All faculty members will have the right to appeal salary decisions to the School of Medicine Faculty Salary Equity Committee, as well as access to all generally available University faculty grievance mechanisms.

Departmental Implementation Plans:

The Chair will be responsible for filing with the Dean in advance of the beginning of each fiscal year the current version of the department's specific approach to implementing the compensation arrangements authorized by this plan. Each departmental implementation plan will spell out in reasonable detail the criteria, including targets for external salary support, to be followed in establishing individual faculty members' total projected annual salary. The Chair will inform the department's faculty in writing of these criteria and methodologies on an annual basis.

Definitions:

Base salary: salary that will be considered the "set salary," guaranteed for a fiscal year. Increases in the base salary for an entire department will be limited by the amount of the increases in state funds received by the department each year.

Variable component: component of salary that can vary from year to year; the amount of this component will be negotiated with the chair each year, based on performance.

Annual total salary: The sum of the base salary and the variable component.

Floor base salary: The minimum salary for each rank.

University of North Carolina at Chapel Hill
School of Nursing

Salary Policies: Initial Determination of Salary,
Market Salary Increases and Merit Awards

Benchmark Nursing Faculty Salaries

School of Nursing salary goals are derived from benchmarks with peer schools of nursing. The American Association of Colleges of Nursing (AACN) publishes an annual report on faculty salaries based on a yearly survey of all schools of nursing with baccalaureate and higher degree programs. Faculty salary data is reported for regions of the country and types of institution, and by faculty rank, credentials, and tenure vs. fixed term track status.

Among the AACN categories, we use, when available, data that is segmented for Research I public universities and schools of nursing with doctoral programs. In these categories, we use the 75th percentile as the benchmark salary for tenure track faculty. Salary data for fixed term faculty are not included in those classifications; thus, salaries reported at the 75th percentile in a general classification, "All Schools," is the benchmark salary for fixed term faculty.

Benchmark salaries are described at three levels (beginning, mid/majority and exceptional) to establish a range by rank, track, and degree status. The mid/majority salary level is the 75th percentile salary reported by AACN as described above. The beginning salary level is computed at 10% below and the exceptional salary level is computed at 10% above the 75th percentile salary reported by AACN.

Periodically, other markets are surveyed for comparison with faculty salaries and AACN benchmark salaries. Other markets may include the University (Academic Affairs and Health Affairs), other universities considered peer institutions by UNC-Chapel Hill, and the clinical and administrative salaries for equivalently prepared nurses in non-university settings

It is important to note that benchmark salaries are targets or salary levels the School aspires for its faculty. The extent to which actual salaries reach benchmark salaries is dependent on the amount of salary increase funds appropriated by the legislature each year. However, over time, the goal is to bring faculty salaries to benchmark levels. Benchmark salaries are used to determine salary offers for new faculty and annual market increases and merit awards (including promotions in rank) for current faculty.

Salary Offers to New Faculty

New salary offers are based on consideration of multiple factors: individual qualifications, including educational preparation, years and type of experience, and cumulative record of productivity and accomplishment in the areas of teaching, research and service relative to rank, appointment type and/or position; and market factors which include scarcity of needed specialty, minority status and prevailing salary scales. Based on the above factors and rank at initial appointment, the dean, assistant dean for administrative services, and the division chair identify the salary offer. If current faculty salaries in a given rank are at benchmark levels, then a new faculty member being appointed to the same rank is offered a benchmark salary at the appropriate range for that rank. If current faculty salaries in a given rank fall short of benchmark salaries, then a new faculty member being appointed to the same rank is offered a salary comparable to current faculty salaries.

The latter approach is taken to minimize the phenomenon of salary compression. Salary compression occurs when new faculty are hired at higher salaries than current faculty, given equivalent qualifications

and records of accomplishment. There are, however, instances when it is necessary to bring in new faculty at salary levels higher than those of current faculty. Whenever this occurs, market salary increases (as described below) are given high priority in the following years in order to reduce the disparity in salaries between newly hired and longer-term faculty with equivalent qualifications and records of accomplishment.

Annual Salary Increases for Faculty

Merit Awards

Faculty members are reviewed annually for merit awards according to the "Guidelines for Annual Faculty Evaluation." Faculty members submit up-dated curriculum vitae, other supporting materials and a self-assessment to division heads, who review the materials submitted and make a recommendation for non-meritorious, meritorious and exceptionally meritorious awards. Factors considered in evaluations include teaching evaluations, peer review of teaching, research, grant awards, and other scholarly productivity, and service to the school, university, profession, and lay communities. For faculty with practice contracts, evaluations from their practice setting supervisors are considered as well. The division heads' recommendations regarding merit level are discussed with faculty members during face-to-face annual performance reviews.

Upon completion of all annual performance reviews, division heads meet with the dean to discuss merit award recommendations for all faculty members to assure consistency across departments in the recommendation for merit salary increases. Final decisions about merit level are made at this time and, if the merit level is changed from the division head's initial recommendation, this decision is communicated to the faculty member.

Market Increases

Market salary increases are awarded to bring faculty salaries to or closer to benchmark salaries and to minimize salary compression. Each faculty member is assessed annually to determine the need for a market salary increase. For each faculty member, the following question is asked: "if we were hiring this faculty member today, given the person's cumulative record of performance and other market factors, would we hire this faculty at the beginning, mid/majority or exceptional benchmark salary level for his or her rank and degree status?"

The benchmark salary and level rating (beginning, mid/majority and exceptional) is then compared to each faculty member's current salary. If a faculty member's current salary falls below the benchmark but their cumulative performance assessment rating was for a beginning, mid/majority or exceptional benchmark salary level, a recommendation for a market salary increase is made. Thus, each faculty member's actual salary is compared annually to the School's benchmark salaries and, based on the faculty member's cumulative performance assessment, a market salary increase is recommended when realignment is needed. Determinations in favor of market adjustments are also made in the annual meeting of division heads with the dean.

Distribution of Market Salary Increase and Merit Award Funds

Funds appropriated by the legislature for salary increases are rarely sufficient to make all deserved market increases and merit awards. The policy of the faculty is that there should, at a minimum, be a \$500 differential among levels of merit award. Beyond that consideration, the funds available are allocated for both market increases and merit awards. Because sustained productivity and accomplishment are markers of leading universities, priority of remaining funds is given to market increases. The dean makes the final decision about how money will be allotted to market and merit

adjustments and communicates the amounts of salary increases in merit and market categories to individual faculty members by letter, once approval to release the information is obtained from the university.

Faculty members may express concern regarding the level of salary increase with division heads and/or with the dean directly. An elected Faculty Salary Policy Committee, chaired by the Faculty Chair, is available to faculty members who believe the above processes were not applied fairly in determination of their raises.

P:SALARYPL, 3/96

Updated: 9/03, Executive Group

The University of North Carolina at Chapel Hill
School of Pharmacy
Faculty Salary Policy
(Updated 3/20/2013)

The UNC Eshelman School of Pharmacy Faculty Salary Policy provides a framework from which an employee's job performance is reviewed and salary decisions and increases are determined. This Salary Policy helps the School attract the best-qualified people, provide compensation in accordance with assigned duties and responsibilities, and encourage retention and a high level of performance.

Initial Salary Negotiated with New Faculty

A new faculty member's initial salary is based on the individual's qualifications (educational preparation, years and type of experience, productivity and accomplishments in teaching, research and service, and national or international standing), named professorships, administrative workload, equity within the School, and market conditions. The Division Chair discusses these qualifications with the Dean and the agreed salary is incorporated into the offer letter to the new faculty member.

Annual Salary Increases and Adjustments

Division Chairs conduct annual performance evaluations (Annual Faculty Merit Review) focusing on teaching responsibilities, student evaluations, new teaching innovations, mentoring of graduate students, research activities and publications, staff management, service activities, and special awards and recognitions.

As an extension to the Merit Review, an *Impact Review Process* is subsequently conducted. The *Impact Review Process* was first implemented by the School in the spring of 2005 and utilized since to guide School administrators on issues of merit- and impact-based annual salary increases, faculty retention decisions, and Academic Excellence Awards decisions. The "Policy and Procedure for the Annual Faculty Merit and Impact Review Process" was approved by the Executive Committee of the School on 12/15/2011 and states the following:

The UNC Eshelman School of Pharmacy espouses a philosophy to acknowledge and reward exceptional faculty performance in the three primary areas of the mission of the School: Research, Education, and Service. The "Impact" the School has on the state, nation, and world and the reputation that follows is based on the constant pursuit of excellence in these three areas. This is consistent with our School's mission and recognized within our Appointment, Reappointment, Promotion, and Tenure (ARPT) document that acknowledges the Scholarship of Discovery, Education, and Application as critical elements of the promotion process. This process provides the School with a "near 360-degree" performance-based evaluation of faculty. The process also facilitates the recognition of faculty that contribute to the broad missions of the School in potentially very different ways, as well as allowing leadership of the School to appreciate the richness of the talent of the faculty. Special consideration should be given to the faculty member's contribution to all Strategic Initiatives in the School's Strategic Plan.

Based on the review process stated above, annual salary increases and adjustments for individual faculty members are recommended by their respective Division Chairs. These recommendations are forwarded to the Dean for final approval. The Dean administers salary increases and adjustments for Division Chairs and administrators. Salary allocations and increases are based on availability of funds, Merit and Impact Reviews, competitiveness with peer institutions, internal equity considerations, recruitment

experience, and opportunities for career advancement. The School follows the instructions, limitations and conditions for salary adjustments as determined by the North Carolina General Assembly, UNC Board of Governors, as well as the Offices of the President, Chancellor, and Provost.

Other Annual Salary Adjustments

Annual salary adjustments may be given (contingent upon the availability of funds) when:

1. The faculty member has accepted additional and/or different responsibilities to those previously agreed to by the faculty member, Chair and Dean in an offer letter or annual performance review process.
2. There is a faculty retention situation (pre-emptive as well as a firm offer).
3. A promotion has been granted.

Communicate Salary Increases and Adjustments

Each faculty member must be advised in writing of the dollar amount and percentage of his/her salary increase/adjustment as well as the total salary for the year.

Grievance Procedure

A faculty member who is dissatisfied with the School's Faculty Salary Policy, his/her salary increase/adjustment or his/her current salary level may discuss these concerns with the Dean of the UNC Eshelman School of Pharmacy. If the faculty member fails to find satisfaction, he/she is then advised to appeal, using the University's established grievance procedures.



Salary Policy

December 2013

Faculty salaries are set by the chair of each department in consultation with leaders of central administrative units, with the advice and consent of the dean of the School of Public Health. The focus of this policy is on faculty salary increases.

Annual Increases

Each year, when funds are available, the dean and associate dean for business and administration provide chairs and unit heads with the expected amount of budget available for EPA salary increases for the coming year. Chairs and unit leaders develop merit-based salary increase recommendations for their units and review these recommendations with dean and associate dean. Equity of salaries among faculty of the same rank is reviewed in these yearly meetings, and special increases related to equity or retention issues are discussed. Merit-based increases are determined by each chair with some variation in approach and methodology. For example, some departments have highly quantitative algorithms for raises while others use more qualitative methods. In all cases, there are opportunities to discuss special circumstances that characterize particular faculty members.

Several factors are common to all departments. Each department bases merit increases on assessments of teaching, research productivity, advising, publications and service. Additionally, chairs consider equity when making salary increase decisions.

Initial Salaries

Initial salaries offered at the time of hire for new faculty are based on the candidate's background and experience, equity within departmental faculty of equivalent rank, experience, and stature in the field. Particular fields and sub-fields also may be relevant to discussion, along with yearly data from the Association of Schools and Programs of Public Health (ASPPH) regarding salaries for faculty members in different fields of public health and at various ranks. We strongly discourage initial salaries that are less than the 50th percentile of ASPPH rates.

Promotional Increases

Promotional salary increases can be given as part of the annual raise process or as an out-of-cycle increase (determined by the department chair). The promotional increase is based upon the faculty member's stature in his/her field, internal equity and ASPPH data.

Retention Increases

When it is necessary and appropriate to make retention offers based on the judgment of chairs, in consultation with dean and associate dean, a variety of factors are considered, including current salary, ASPPH data, internal equity data, criticality of the faculty member and his/her field, and offer or likely offer from competing institution/organization. The process is not formulaic, but it is critical that it be fair. Retention offers are not pro forma. There are times when a retention offer is not appropriate.

SCHOOL OF SOCIAL WORK
SALARY REVIEW POLICY
April 6, 2004

Procedure:

1. The Dean will request that each faculty member complete a *Faculty Activity Report* (FAR) in the spring semester of each year. The FAR is a written compilation of teaching, research, external funding, and service activities undertaken during the academic year by each faculty member. The FAR also contains a faculty goal statement for the following year. Each semester the Dean is also provided with a summary of all faculty member's teaching evaluations as reported by the graduate students. These evaluations are reviewed and comparisons are made among other faculty who teach in similar curricula areas or teach the same courses.
2. An annual review is then conducted between the Dean of the School of Social Work and each member of the faculty. The Dean meets with each faculty member individually and reviews his or her accomplishments as described in the FAR for the previous academic year. The faculty member's goal statements are also reviewed and discussed at the meeting.
3. When the state provides salary appropriations that allow for differential salary adjustment, the Dean reviews all current salaries, taking into account merit, market, equity, gender, and racial and ethnicity issues. The Dean may solicit input from members of the full professors, and then will meet with the Associate Dean for Finance, Administration and Technology to complete the recommendations.
4. Salary increase recommendations begin with the actions of the state. If dollars are appropriated for faculty salary increases and a mandate is not imposed that directs the Dean to distribute the funds "across the board" by percentage or dollar amount, but instead to allocate funds according to merit, then the Dean will recommend salary increases based upon faculty merit. Factors considered in deciding faculty merit include teaching (e.g., course evaluations, supervising independent study courses, serving on Ph.D. dissertation committees) scholarship (e.g., publications [number and quality] and external funding), and service (e.g., school, university, professional, national, and international). At the School of Social Work all three areas are important and considered in making salary adjustments. However, each area has a differential weight, with scholarship being granted the most weight, teaching given the next greatest weight, and service the next greatest weight.
5. Materials that document performance and achievement include the *Faculty Activity Report*, faculty teaching evaluations, and the annual interview with the Dean.
6. The Dean submits the recommended salary adjustments to the Office of the Provost, and when these are approved, individual letters are prepared and sent to each faculty member outlining the salary provisions provided by the State and the specific salary increase allocated.
7. If a faculty member wishes to discuss the salary increase provided, he or she can request to meet with the Dean to discuss any concerns. If these discussions prove insufficient, a faculty member may take his or her concerns to the Office of the Provost and may also avail themselves of the University grievance procedures.

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

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

11. Recruitment, Promotion, and Compensation Policies

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

If your campus has multiple links for these policies, please include them in the additional spaces provided. Not all campuses will have more than one URL.

	URL #1	Date of Revision (mm/dd/yyyy)	URL #2	Date of Revision (mm/dd/yyyy)	URL #3	Date of Revision (mm/dd/yyyy)
Recruitment and Selection of Senior Academic and Administrative Officers (600.3.4 B.1)	https://equaloppd	09/23/2014				
Promotion and Tenure that complies with UNC Code and current federal law (600.3.4 B.1)	http://policy.sites	07/24/2014				
Compensation of faculty and non-faculty EPA from non-state sources (600.3.4 B.5)						
Any non-salary compensation of faculty and non-faculty EPA (600.3.4 B.6)	http://hr.unc.edu/	05/13/2013				

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

Compensation of faculty and non-faculty EPA from non-state sources: UNC-CH does not maintain a separate policy for compensating faculty and non-faculty EPA from non-state sources. If a grant is applied to cover a faculty salary, the University is required to, and does, follow the guidelines of the grant with respect to use of the funding. If the North Carolina legislative body issues directives or guidance as to how state and non-state funds are to be applied with respect to salaries, the University complies. However, we do not have a specific policy on the use of non-state sources to compensate faculty and non-faculty EPA.

Recruitment and Selection of Senior Academic and Administrative Officers University of North Carolina at Chapel Hill

The University of North Carolina at Chapel Hill is committed to providing equal access to our employment environment; and ensures that all employment-related decisions are in accordance with the principles of equal opportunity. The normal recruitment process is to conduct an open search that allows us to attract a diverse pool of qualified candidates and then select the best candidate from that applicant pool.

The Equal Opportunity and Compliance Office is responsible for monitoring the university's equal opportunity and affirmative action efforts; and the recruitment and search process for EPA Faculty and Non-Faculty positions.

The following procedures are designed to provide guidance to the university

INITIAL APPOINTMENTS

1. Once a vacancy for an EPA Faculty or Non-Faculty position occurs, a Recruitment Requisition should be created and routed through the PeopleAdmin Recruitment System for approval. Proposed advertisement(s) need to be attached when the department/unit will advertise in additional venues beyond the UNC-CH and Inside Higher Ed (IHE) websites.
2. Search procedures apply to all EPA Faculty and Non-Faculty recruitments when there is an intent to pay

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

Use of Search Firms for EPA Faculty and Non-Faculty Positions

It is acceptable to use search firms when conducting an open search to fill an EPA Faculty or an executive Non-Faculty position at the University of North Carolina at Chapel Hill. It will be the responsibility of the hiring department to familiarize the search firm with the University's hiring policies and practices. It will also be the department's responsibility to cover any fees associated with the search firms.

Departments utilizing search firms will need to ensure the requisitions are processed in the PeopleAdmin System.

EPA Non-Faculty Positions

EPA Non-Faculty positions must be created in ConnectCarolina and approved by the Office of Human Resources prior to initiating a recruitment requisition.

Posting Periods

- ◇ **Tenured/Tenure Track positions** – must be advertised ***nationally*** for a minimum of **30** days.

- ◇ **Administrative Appointment with Faculty Rank** (Example: Provost, Deans, Chair) – must be advertised ***nationally*** for a minimum of **30** days.
- ◇ **Fixed-Term Faculty** – must be advertised ***locally and regionally*** for a minimum of **14** days. The automatic posting to the Inside Higher Education website meets the regional requirement.
- ◇ **EPA Non-Faculty** positions including Research Assistant and Research Associate positions must be advertised for a minimum of **14 days** and must appear in UNC-CH Employment Opportunities, unless the Equal Opportunity and Compliance Office approves a request for a shorter advertising period.
- ◇ **Senior level positions** (Example: Vice Chancellor's, Directors, and Deans) must be advertised regionally with selected positions advertised nationally for a minimum of 30 days. Requests for a posting period less than the default minimum must be soundly justified and approved by the Equal Opportunity and Compliance Office.

Positions will either be open until filled or have an application deadline. If open until filled, the job will be advertised until the position is filled.

Maximum Requisition Period - 1 year from the initial posting date

Advertisements

Advertisement(s) need to be attached to the Recruitment Requisition action when the dept/unit will advertise in additional venues beyond the UNC-CH and IHE websites.

Information to include in external advertisements:

- ◇ Name of the University, College and Department
- ◇ Title of the position
- ◇ Responsibilities of the position (position summary)
- ◇ Minimum and preferred education, experience and skills
- ◇ Specific applicant instructions for submitting additional materials should be included when applicable.
- ◇ Application deadline

Advertisements should always include the EEO statement for the University:

"The University of North Carolina at Chapel Hill is an equal opportunity employer that welcomes all to apply, including protected veterans and individuals with disabilities."

The advertisement should include the Quick Link Posting:

<http://unc.peopleadmin.com/postings/XXXXX>

Advertisement Sources

- ◇ National professional journals and newspapers
- ◇ Regional journals and newspapers
- ◇ Letters and announcements to schools
- ◇ Professional meetings

- ◇ Other recruitment methods (provide the name & addresses for listserv's and web sites)

The Equal Opportunity and Compliance Office has purchased a membership subscription to the National Registry of Diverse & Strategic Faculty. Please contact the EOC office for login and password.

Reminder: Check publication dates for National and Professional journals to ensure the application deadline is 14 to 30 days after the print advertisement appears. If position is "open until filled" this is not an issue.

Recruitment Efforts

Special efforts to identify minority and female candidates. (Examples: list professional caucuses, organizations and universities). Identify efforts the department will undertake to reach minority and female populations.

List any special recruitment activities that will be a part of this search. (Example: interviewing at professional meetings)

Visit the Equal Opportunity and Compliance website for a list of Diversity Recruitment Sources: <http://eoc.unc.edu/recruitment/recruitmentresources/>.

Search Committee Appointments

A minimum of 3 search committee members is required (internal & external combined).

A Search Committee Chair must be identified – you may have 1 or 2 individuals assigned as chairs (internal & external combined).

Search Committee Appointments (Con't)

Every effort should be made to include female and minorities on the search committee. Department are required to provide an explanation/justification if no females and no minorities are included on the search committee. Recruiting members from other departments or including members who may not specialize in the technical area, but who understand the search process, can add diversity to the committee and valuable feedback on candidate selection.

Internal search committee members – When the system displays the Primary Rank/Title as "Other", departments must provide the appropriate primary rank/title in the comments box.

SPA employees may serve on EPA search committees.

External search committee members will require an onyen to access the applicant data related to searches. External members who do not have an active onyen may be assigned one through the affiliate system.

All hiring supervisors, search committee chairs and members should complete the Online Training Module before beginning the search process. The module can be accessed at: <http://www.unc.edu/depts/eoada/sct/index.htm>

EPA Recruitment & Selection: Nepotism

- ◇ No family member may occupy a position that has influence over another's employment, transfer, promotion, salary administration, or other related management or personnel

consideration. If relatives are considered for employment, it is necessary for the department head to complete a certification form verifying that such action will not violate the UNC-CH policy on Nepotism.

- ◇ Hiring units are required to submit a completed Nepotism Certificate stating that the University's Nepotism Policy has not been violated whenever related individuals are considered for employment in the same unit. The certification form can be attached to the EPA Web New Employment Action.
- ◇ The policy may be viewed on the UNC Policy Manual website under the Employment of Related Persons (Anti-Nepotism Policy) section:

<http://www.northcarolina.edu/apps/policy/index.php?pg=vs&id=s328>

Waiver of Recruitment

A Waiver of Recruitment is used in cases where the department has a reason or need to hire outside of the formal recruitment process. Waivers are considered and approved as *exceptions* when the absence of a search does not impact equity; and the search request meets the following requirements:

- ◇ Under special circumstances, when it can be demonstrated that the absence of advertisements and a regular search do not conflict with achieving equity and locating the person who best meets the University's standards, provided certain conditions are met, advertisements may be omitted.
- ◇ Advertising and search requirements may be waived in the case of individuals who possess credentials that the recruiting unit believes makes them best qualified for a particular position and whose appointment would bring unique skills, perspectives, and experience to the University not currently available and unlikely to be available in a timely way following normal advertising and search procedures.
- ◇ Individuals whose appointments "would bring unique skills to the University" as noted above can include the following: (1) outstanding professional achievement or (2) women and minorities where there is under-representation in the department and the appointment would add to the diversity of the department; (3) spouses of successfully recruited candidates, where the timing of the negotiations with the successfully recruited candidate requires the immediate ability to respond to the candidacy of the spouse for the position in question.
- ◇ Advertising and search requirements may be waived in the case of emergency appointments, where academic departments and administrative units need to make an appointment to meet an unforeseen personnel emergency, for example, death, medical incapacitation, or immediate resignation of a current employee.



Trustee Policies and Regulations Governing Academic Tenure in the University of North Carolina at Chapel Hill

These policies and regulations were adopted by the Board of Trustees of The University of North Carolina at Chapel Hill on April 9, 1976, were approved by the President and the Board of Governors of The University of North Carolina on May 14, 1976; and became effective on June 18, 1976. They have been amended December 1978, June 1980, June 1982, January 1987, June 1987, February 1994, April 9, 1998, September 9, 2000, January 2004, May 2004, October 20, 2009, May 26, 2011, and July 24, 2014.

They were adopted by the Board of Trustees pursuant to and in subordination to Chapter Six of The Code of The University of North Carolina, which is set forth in the Appendix hereto. References in this document to any decision or action as being "final," or "without further recourse," or as being terminal by any other form of words, are made in relation to the processes of The University of North Carolina at Chapel Hill. Each is subject to any further review procedures which may be provided by law or by The Code of The University of North Carolina.

Section 1. Academic Freedom

Academic freedom is the right of a faculty member to be responsibly engaged in efforts to discover, speak and teach the truth. It is the policy of the University to maintain and encourage full freedom, within the law, of inquiry, discourse, teaching, research, and publication and to protect any member of the faculty against influences, from within or without the University, which would restrict the faculty member in the exercise of these freedoms in his or her area of scholarly interest.

The University recognizes that in his or her role as citizen, as to matters outside the area of his or her scholarly interest, the faculty member has the right to enjoy the same freedoms as other citizens, without institutional censorship or discipline, though he or she should avoid abuse of these freedoms. The faculty member should recognize that accuracy, forthrightness, and dignity befit his or her association with the University and his or her position as a person of learning. Except when officially authorized, a faculty member should not represent himself or herself as a spokesman for the University.

Section 2. Academic Tenure

a. In general

Academic tenure refers to the conditions and guarantees that apply to a faculty member's employment. More specifically, it refers to the protection of a faculty member against involuntary suspension, demotion, discharge, or termination from employment by the University except upon specified grounds and in accordance with specified procedures. Those grounds and procedures are exclusively as provided in Section 3 (suspension, demotion, and discharge) and Section 6 (termination for financial exigency or elimination or major curtailment of a program) hereof.

The purposes intended to be served by according the protections of academic tenure to faculty members are to secure their freedom and to aid this University in attracting and retaining faculty members of the high quality it seeks. While academic tenure may be withheld on any grounds other than those specifically stated to be impermissible under Section 4 hereof, its conferral requires an assessment of institutional needs and resources and evidence of service to the academic community, potential for future contribution, commitment to the welfare of the University, and demonstrated professional competence, including consideration of commitment to effective teaching, research, or public service.

b. In relation to faculty ranks

Academic tenure, as herein defined, pertains exclusively to the employment of members of the faculty by appointment to specified faculty ranks. Such appointments may be for fixed terms of employment, automatically terminable upon their expirations; or they may be for renewable probationary terms ("probationary term appointment"); or they may be continuous until retirement or earlier resignation or death ("tenured appointment" or "appointment with permanent tenure").

The faculty ranks to which appointments may be made, and the incidents of academic tenure applicable to each, are as follows:

1. **Professor.** Either promotion or initial appointment to the rank of professor confers permanent tenure from the effective date of the promotion or appointment.
2. **Associate Professor.** A promotion at any time to the rank of associate professor confers permanent tenure from the effective date of the promotion.

Initial appointment to the rank of associate professor is ordinarily for a probationary term of five years. With the written approval of the immediate supervisor of the department¹ chair obtained in advance of the initiation of formal

¹ "Department" is used herein as a generic term for departments, professional schools, and any other academic units to which faculty appointments are made; "chair," as a generic term for department chairs, deans of professional schools, and any other heads of academic units to which faculty appointments are made.

appointment procedures, an initial appointment to the rank of associate professor with permanent tenure may be initiated and made effective upon subsequent approval of the appointment by the regularly prescribed procedures for initiation, review and final approval.

No less than 12 months before the end of a five year probationary term appointment as associate professor, a decision shall be made and communicated in writing to the associate professor as to whether he or she will be reappointed upon expiration of the current term. This decision shall be made and communicated as provided in Section 2.c. hereof. No decision need then be made as to the rank to be had upon reappointment. If a decision is made to reappoint and no promotion has been made prior to expiration of the five year term, the associate professor is thereupon reappointed at the rank of associate professor, with permanent tenure.

3. **Assistant Professor.** Initial appointment to the rank of assistant professor is for a probationary term of four years. No less than 12 months before the end of this term a decision shall be made and communicated in writing to the assistant professor as to whether he or she will be reappointed upon expiration of the current term. The decision shall be made and communicated in the manner provided in Section 2.c. hereof. No decision need then be made as to the rank to be had upon reappointment. If a decision to reappoint is made and no promotion is then made prior to the expiration of the current term, the assistant professor is thereupon reappointed for a second probationary term of three years at the rank of assistant professor.

No less than 12 months before the end of such a second term, a decision shall be made and communicated in writing to the assistant professor as to whether he or she will be reappointed upon expiration of the current term. The decision shall be made and communicated as provided in Section 2.c. hereof. If the decision is to reappoint, the notice thereof shall also inform the faculty member whether reappointment will be at the same rank or with promotion to the rank of associate professor; and a faculty member given notice that reappointment will be at the same rank shall be then informed by his or her chair whether he or she will be reconsidered for promotion prior to the effective date of the reappointment. If a decision to reappoint is made and no promotion is then made prior to the expiration of the current term, the assistant professor is thereupon reappointed at the rank of assistant professor with permanent tenure. Reappointment at the rank of assistant professor following expiration of the second probationary term should be made only in clearly exceptional circumstances.

4. **Instructor.** This rank is appropriate for one appointed to the faculty with the expectation that in normal course he or she will progress to the professional ranks in this or another institution.

Initial appointment to the rank of instructor is for a probationary term of one year. The instructor may be reappointed successively for three further one year terms, a total of four such terms. At least 90 calendar days before the end of the first term, 180 calendar days before the end of the second term, and 12 months before the end of the third term, a decision shall be made and communicated in writing to the instructor as to whether upon expiration of that term he or she will be reappointed at the rank of instructor for another term, promoted to the rank of assistant professor, or not reappointed. At least 12 months before the end of a fourth successive term a decision shall be made and communicated in writing to the instructor as to whether upon expiration of that term he or she will be promoted to the rank of assistant professor, or not reappointed. No reappointment to the rank of instructor may be made after four years' employment at that rank. The decisions herein required and the communication thereof shall be made as provided in Section 2.c.

Promotion at any time from the rank of instructor to that of assistant professor constitutes an initial appointment at the latter rank, with the incidents described in Section 2.b.(3) hereof. An appointment or reappointment at the rank of instructor may be made on the specified condition that automatically upon the conferral of a specified academic degree the instructor shall be reappointed at the rank of assistant professor. In such cases the effective date of the appointment at the rank of assistant professor shall be retroactive to the effective date of the current appointment as instructor, or to the July 1st or January 1st immediately preceding the conferral of the specified academic degree, whichever is nearest in point of time.

5. **Fixed-term faculty and other special faculty ranks:** Appointments may be made to fixed-term faculty and other special faculty ranks with title designations "Professor of the Practice," "Lecturer," "Senior Lecturer," "Teaching Professor," "Artist in Residence," "Writer in Residence," and any of the faculty rank designations provided in paragraphs (1) through (4) of this subsection with the prefix-qualifier "Adjunct," "Clinical," or "Research," under the conditions and with the incidents herein provided. Such an appointment, utilizing any of the foregoing title designations, is appropriate for one who possesses unusual qualifications for teaching, research, academic administration, or public service from an academic base, but for whom none of the professorial ranks nor the instructor rank is appropriate because of the limited duration of the mission for which appointed, or because of concern for continued availability of special funding for the position, or for other valid institutional reasons.
 - (i) Fixed-term faculty: Faculty members covered by this paragraph 2.b.5. who are appointed to full-time salaried positions shall be appointed for a fixed term of not less than one nor more than five years. Subsequent appointments for fixed terms of up to five years' duration may be made either in direct succession or at intervals. Faculty members covered by this paragraph 2.b.5. who are appointed to part-time or intermittent

salaried positions shall be appointed for a specified term of service, as set out in the letter of appointment. All faculty appointed pursuant to this subparagraph 2.b.5.(i) shall be referred to as “fixed-term faculty.”

- (ii) Special faculty members who are unpaid may be appointed for a specified term of service or at will.

The term of appointment of any faculty member covered by this paragraph 2.b.5. who has been appointed for a specified term of service ends when that term expires, and the appointment letter constitutes full and timely notice that a new appointment will not be offered when that term expires. The term of appointment of a faculty member covered by this paragraph 2.b.5. who has been appointed to serve at will may be terminated at any time without prior notice and shall be reviewed no less frequently than every five years.

The pay, if any, and appointment status of a faculty member covered by this paragraph 2.b.5. shall be described in the letter of appointment.

No obligation exists on the part of the University to give any notice in advance of expiration of a current term as to whether appointment will be offered for a succeeding term. But upon request of the faculty member made in writing to the chair of the department concerned not earlier than 180 calendar days nor later than 90 calendar days before the expiration of a current term, the department chair shall within 20 calendar days thereafter communicate in writing to the faculty member a decision whether such an offer will be made, and if so, its terms. Failure to communicate a decision constitutes notice that no offer will be made.

Faculty members covered by this paragraph 2.b.5. may seek recourse to the Faculty Grievance Committee under Section 607 of the Code of the University of North Carolina during their term of employment. Faculty members covered by paragraph 2.b.5. who are paid may be suspended, demoted, discharged, or terminated during the term of their appointment only in compliance with Sections 3 or 6 hereof. However, such faculty members do not have any rights to review of a University decision not to grant a new appointment at the end of a specified fixed term, and they are not covered by Section 4 hereof.

Except as otherwise provided and modified hereinabove, the decisions herein required shall be made as provided in Section 2.c. hereof. [Amended 5/20/2004, 10/20/2009, 5/26/2011, 7/24/2014]

c. General provisions

(1) Initiation, review, and approval of appointments, promotions, and reappointments

Each initial appointment with permanent tenure or for a fixed or probationary term longer than one year, each promotion in rank, and each reappointment of an instructor, assistant professor or associate professor shall be initiated by

recommendation of the chair of the department concerned after consultation with the assembled full professors of that department. Each such recommendation shall be based upon considerations of the demonstrated professional competence and the potential for future contribution of the faculty member, and of the needs and resources of the institution. Initial appointments to terms not exceeding one year may be initiated by the department chair acting on his or her own initiative. Each such recommendation shall then be reviewed in accordance with prescribed procedures for the particular action, which procedures shall provide for final approval by a designated authority. Final authority for approving any action which confers permanent tenure is in the President and Board of Governors unless by that Board delegated. Final authority for approving all other actions above enumerated is in the Board of Trustees unless delegated.

(2) Decisions not to reappoint upon expiration of probationary terms

A decision not to reappoint upon expiration of a probationary term at the rank of instructor, assistant professor or associate professor may be made in the first instance by the chair of the department after consultation with the assembled full professors of the department; or it may be made, following a recommendation to reappoint by the department chair, by any other officer of administration² charged with reviewing such a recommendation. By whatever officer of administration made, a decision not to reappoint is final except as it may subsequently be reviewed in accordance with the provisions of Sections 4 and 8. Permissible and impermissible grounds for making a decision not to reappoint are as provided in Section 4.a. hereof. Each decision not to reappoint shall be communicated for information through the administrative channels prescribed for review of a recommendation to reappoint; and notice thereof shall be communicated in writing to the faculty member by the department chair within the times prescribed by Sections 2.b.(2), (3), and (4) hereof. [Amended 6/20/80]

(3) Failure to give timely notice

- i. If a decision not to reappoint is timely made but not timely communicated as herein required, a one year terminal appointment commencing on the date of expiration of the current term of appointment shall be offered in writing. This offer shall serve as timely notice of nonreappointment upon expiration of the terminal year appointment.
- ii. If no decision whether to reappoint has been made at the time notice thereof is required, the Chancellor (or his or her delegate) shall, immediately upon discovery of the failure, direct the department chair concerned to initiate the consultation procedure required to make the decision. The decision shall be made within 60 calendar days after the date

² "Officer of administration," as used herein, includes department chair.

of direction. If the decision is to recommend reappointment the department chair shall forward the recommendation through the channels provided for review of such a recommendation. If the decision is not to reappoint, the department chair shall forward notice thereof for information through the channels for review and shall forthwith give written notice of nonreappointment to the faculty member. If a recommendation to reappoint is given final approval, it operates with the same effect as would have a decision to reappoint timely made and communicated. If a final decision not to reappoint is made at any level, written notice thereof shall forthwith be given to the faculty member by the department chair. Such notice operates as an offer of a terminal appointment, commencing at the expiration of the current term of appointment and running for one year or, if the most recent term of appointment has expired, commencing with the giving of the notice and expiring one year from the beginning of the regular semester which next follows the giving of notice.

(4) Timing of permanent tenure actions

No recommendation for a promotion or reappointment which under the provisions hereof will confer permanent tenure may be initiated until the faculty member has been in the active employment of the University for at least 18 months. No such recommendation may be initiated which would have an effective date more than 18 months after its initiation. Except as thus expressly limited, promotions in rank may be made at any time during a faculty member's employment.

(5) Visiting faculty members

Persons other than regular members of the faculty may be appointed as visiting members of the faculty with rank designations, prefixed by the word "Visiting," appropriate to their status in their regular employment. Such appointments shall be for a term of not more than one year. One successive appointment for a term of not more than one year may be made. Appointments are made in accordance with the procedures for appointment of an instructor. During such terms of appointment the visiting faculty member may not be suspended, demoted, discharged, or terminated except upon the grounds and by the procedures provided respectively in Sections 3 and 6 hereof.

(6) Terms and conditions of appointments

The terms and conditions of each initial appointment and of each reappointment to the faculty shall be set out in writing. A copy thereof, signed by the Chancellor (or his or her delegate), shall be delivered to the faculty member and a copy shall be retained for the Chancellor. The general terms and conditions of such appointments, including those provided herein, shall either be set out in the

document of appointment or incorporated therein by clear reference to specified documents which shall be readily available to the faculty member.

Except as may be otherwise expressly provided in the documents of appointment, all appointments to any faculty rank are on the basis of a full-time employment obligation and confer the full incidents of academic tenure pertinent to the particular appointment. [Amended 2/18/94]

Any special terms and conditions shall be clearly stated in the written appointment. Special terms and conditions added by memorandum of amendment must be approved by signature of the Chancellor (or his or her delegate) and the faculty member, with a copy to be retained by each. Except as herein provided, no special terms or conditions may be included which vary the general terms and conditions stated herein. The responsibility for initiating the inclusion of special terms and conditions in documents of appointment is with the chair or dean recommending the appointment. [Amended 2/18/94]

(i) Continued availability of special funding

The appointment, reappointment, or promotion of a faculty member to a position funded in whole or in substantial part from sources other than continuing State budget funds or permanent trust funds shall specify in writing that the continuance of the faculty member's services, whether on tenured, probationary or fixed term appointment, shall be contingent upon the continuing availability of funds from sources other than continuing State budget funds or permanent trust funds. Such contingency shall not be included in a promotion to a higher rank if, before the effective date of the promotion, the faculty member had permanent tenure with no such condition attached to his or her tenure; nor shall such a contingency be attached to the appointment of a faculty member if he or she held permanent tenure in the institution on July 1, 1975, and his or her appointment was not then contingent upon the continuing availability of funds from sources other than continuing State budget funds or permanent trust funds.

Further exceptions to this requirement may be made with respect to faculty members in the Division of Health Affairs in accordance with the following policies and procedures. Each year there shall be established for each School in the Division of Health Affairs a maximum amount of funds from sources other than continuing State budget funds, permanent trust funds, and clinical income (treated for this purpose as though it were income from permanent trust funds) which may be used in compensating faculty members without including contingency clauses in their appointments. This maximum amount shall be established for each School in consultations among the Executive Vice Chancellor and Provost, the Vice Chancellor for Finance and Administration, and the dean of that School, with the approval of the Chancellor. The dean of each School may recommend that an individual appointment be made without

inclusion of a contingency clause notwithstanding it is funded in whole or in part from sources other than continuing State budget funds, permanent trust funds, or clinical income, and though it is not covered by either of the exceptions stated in the preceding paragraph, if the amount of funding from such other sources does not cause the agreed maximum for the School to be exceeded. Approval of such recommendation may be declined on any grounds deemed appropriate by the reviewing officers of administration, but in no event shall it be given if the proposed funding of the appointment would cause the maximum applicable to the School to be exceeded.

(ii) Provisions for less than full-time employment

Special terms for less than full-time employment with commensurate compensation, or for relief from all employment obligations for a specified period, may be included in an appointment or reappointment to any faculty rank, or may be added by written memorandum of amendment during the term of an appointment. For reasons of health, requirements of childbirth or child care, or similar compelling circumstances, such terms may, with the concurrence of the faculty member, include extensions of the period of a current probationary term of appointment at the rank of assistant professor or associate professor, and thereby the maximum probationary period, to coincide with the extent and duration of the relief from employment obligations. Extensions under this subsection (ii) may be granted in increments not to exceed 12 months, up to a maximum of 24 months (including any extensions that may have been granted under subsection (iii), below). [Amended 5/20/2004]

(iii) Special provisions for extending the maximum probationary period

For reasons of health, requirements of childbirth or child care, or similar compelling circumstances, a faculty member holding a probationary term of appointment at the rank of assistant professor or associate professor may request a written memorandum of amendment extending the term of the current appointment and thereby the maximum probationary period with no resulting change in normal employment obligations, in order to provide the faculty member additional time to demonstrate fully his or her professional qualifications for reappointment or permanent tenure. Extensions under this subsection (iii) may be granted in increments not to exceed 12 months, up to a maximum of 24 months (including any extensions that may have been granted under subsection (ii), above). [Amended 5/20 2004.]

(iv) Extensions and special assignment

If possible under the circumstances, any request made pursuant to subsection (ii) or (iii) above should be initiated not later than 24 months before the end of the term to which it is to apply and must be initiated before the process for

evaluating the faculty member for reappointment has begun. All such extensions must be approved by the Chancellor (or his or her delegate) before becoming effective. The total of all extensions granted under subsection (ii) and subsection (iii) above cannot exceed 24 months. [Amended 5/20/2004]

The provisions of subsections (ii) and (iii) above do not apply to informal temporary adjustments of the regularly assigned duties of faculty members by the department chair who is responsible for their direct supervision; nor to the granting by the University of extended leaves of absence with or without compensation. [Amended 2/18/94]

(7) Joint appointments

A faculty member may at one time hold but one faculty appointment at the rank of professor, associate professor, or assistant professor. This appointment may be held in a single department, or, by joint appointment, in more than one department.

Joint appointments may be made in which the appointee holds in addition to a professorial rank in one department a fixed-term rank in another department, or different fixed-term ranks in different departments. A joint appointment to the faculties of more than one department may be made in accordance with the provisions of this subsection. When an initial joint appointment is to be made, the regular procedures prescribed herein for initial appointment to the rank proposed shall be followed simultaneously by the departments involved in making a joint recommendation for appointment. The joint recommendation shall designate one of the departments as the unit of base appointment, and shall set forth as special terms and conditions for inclusion in the appointing document: the basis of initial funding of the appointment; the procedures agreed to be followed by the departments in making joint decisions respecting promotion, reappointment, and tenure of the joint appointee; and the procedures to be followed by the chairs in respect of salary adjustments for the joint appointee. If the joint appointment is approved, thereafter the base department is responsible for processing personnel actions affecting the joint appointee, but in respect of each such action the recommendation put forward shall be one jointly concurred in by the departments concerned as required by their agreed procedures for joint consultation and decision.

An appointment to a single department may be converted into a joint appointment. The department chairs concerned shall jointly put forward through the regular channels for review of initial appointments a recommendation that the existing appointment be converted into a joint appointment. The joint recommendation shall include the same elements required in respect of a recommendation for initial joint appointment. Upon approval of such a recommendation, the joint appointee retains the single rank with the same incidents of academic tenure already possessed. Thereafter, all personnel actions

affecting his or her academic tenure shall be processed as provided in the case of an initial joint appointment.

(8) Post-tenure review

The chair of the department shall conduct periodic reviews of each tenured faculty member's performance in accordance with the requirements of the University's Post-Tenure Review Policy. Reviews must involve faculty peers, examine all aspects of the faculty member's academic performance, and be conducted no less often than every five years. The goal of the review is to promote faculty development, ensure faculty productivity and provide accountability.

Comprehensive reviews conducted for other purposes, such as consideration for promotion, may constitute a review under this Section. On petition of the chair, the Provost may grant permission to delay a review if the number of reviews to be conducted by a department during a given year would create a burden that would impair the department's educational mission, or for other compelling cause.

Faculty members may grieve matters related to post-tenure review to the Faculty Grievance Committee under Section 607 of the Code of the University of North Carolina during their term of employment. [Amended 9/29/00 and 10/20/2009]

(9) Resignations

A faculty member shall give prompt written notice of his or her resignation, with its effective date, to the chair of his or her department.

Section 3. Suspension, Demotion, and Discharge of Faculty Members

During any fixed or probationary term appointment and while on permanent tenure, a faculty member may be suspended, demoted, or discharged from employment only on the grounds and in accordance with the procedures herein provided.

a. Grounds for suspension, demotion, or discharge

As specified in Section 603 of the Code of the University of North Carolina, the permissible grounds for suspension, demotion, or discharge are:

1. misconduct of such a nature as to indicate that the faculty member is unfit to continue as a member of the faculty, including, but not limited to, violations of professional ethics, mistreatment of students or other employees, research misconduct, financial fraud, criminal, or other illegal, inappropriate or unethical conduct. To justify serious disciplinary action, such misconduct should be either (i) sufficiently related to a faculty member's academic responsibilities as to disqualify the individual from effective performance of university duties, or (ii) sufficiently serious as to adversely reflect on the individual's honesty, trustworthiness or fitness to be a faculty member;

2. incompetence, including, but not limited to, significant, sustained unsatisfactory performance after the faculty member has been given an opportunity to remedy such performance and fails to do so within a reasonable time; and
3. neglect of duty, including, but not limited to, sustained failure to meet assigned classes or to perform other significant faculty professional obligations.

b. Procedures for discharge, demotion or suspension

1. The Provost or his or her delegate shall send the faculty member a written notice of intention to suspend, demote, or discharge the faculty member together with a written specification of the reasons. The notice and specification of reasons shall be sent by a method of mail or delivery that requires a signature for delivery. The statement shall include notice of the faculty member's right, upon request, to a hearing by an elected standing faculty committee on hearings.
2. If, within fourteen calendar days³ after he or she receives the notice and specifications referred to in paragraph (1) above, the faculty member makes no written request for a hearing, he or she may be suspended, demoted, or discharged without recourse to any further institutional procedure by a written letter from the Provost.
3. Repealed.
4. If the faculty member makes a timely written request for a hearing, the Chancellor or his or her delegate shall insure a process is in place so that the hearing is accorded before a standing committee of the faculty composed of at least five faculty members who had permanent tenure when elected by the voting members of the general faculty. The hearing shall be on the written specification of reasons for the intended discharge, suspension, or demotion. The hearing committee shall accord the faculty member thirty calendar days from the time it receives his or her written request for a hearing to prepare his or her defense. The hearing committee may, upon the faculty member's written request and for good cause, extend this time by written notice to the faculty member. The hearing committee will ordinarily endeavor to complete the hearing within ninety calendar days except under unusual circumstances such as when a hearing request is received during official university breaks and holidays and

³ As used in Sections 3, 4, and 6, except when calendar day is specified, the word "day" shall mean any day except Saturday, Sunday, or an institutional holiday. In computing any period of time, the day in which notice is received is not counted but the last day of the period being computed is to be counted.

despite reasonable efforts the hearing committee cannot be assembled.⁴
[Amended 6/20/80 and 10/20/09]

5. The hearing shall be closed to the public unless the faculty member and the hearing committee agree that it may be open. The faculty member shall have the right to counsel, to present the testimony of witnesses and other evidence, to confront and cross-examine adverse witnesses, to examine all documents and other adverse demonstrative evidence, and to make argument. A written transcript of all proceedings shall be kept; upon request, a copy thereof shall be furnished to the faculty member at the University's expense.
6. The Provost, or his or her delegate and/or counsel, may participate in the hearing to present evidence, cross-examine witnesses, to examine all documents and other evidence, and to make argument.
7. In reaching decisions on which its written recommendations to the Chancellor shall be based, the committee shall consider only the evidence presented at the hearing and such written and oral arguments as the committee, in its discretion, may allow. The University has the burden of proof. In evaluating the evidence, the committee shall use the standard of "clear and convincing" evidence in determining whether the University has met its burden of showing that permissible grounds for serious sanction exist and are the basis for the recommended action. The committee shall make its written recommendations to the Chancellor within fourteen calendar days after its hearing concludes or after the full transcript is received, whichever is later.
8. In reaching a decision, the Chancellor shall consider only the written transcript of the hearing and the report of the hearing committee. If the Chancellor intends to reject the recommendation of the hearing committee, the Chancellor shall communicate that intention to the affected faculty member and to the committee along with his or her reasons and provide an opportunity for committee response before taking final action. In such a case the committee shall reconsider its recommendation, taking account of the Chancellor's stated objections and receiving new evidence if the committee deems it necessary. The committee shall transmit its response to the Chancellor within ten days of the committee's receipt of the Chancellor's communication. After considering the committee response, the Chancellor shall issue a decision either concurring in or declining to accept the committee's recommendation. The Chancellor's decision shall be conveyed in writing to the affected faculty member and to the hearing

⁴ To meet this deadline, faculty are encouraged to consider scheduling hearings during the evening, weekend, or other non-class time. It is strongly recommended that several days be established for the hearing when scheduling the first day, for the eventuality that the hearing may take two or more sessions.

committee. If the Chancellor concurs in a recommendation of the hearing committee that is favorable to the faculty member, his or her decision shall be final. If the Chancellor either declines to accept a hearing committee recommendation that is favorable to the faculty member or concurs in a hearing committee recommendation that is unfavorable to the faculty member, the faculty member may seek review of the Chancellor's decision by the Board of Trustees, as provided in Section 8. [Amended 6/20/80; 1/9/87; 4/9/98; 10/20/2009]

9. When a faculty member has been notified of the University's intention to discharge him or her, the Chancellor may reassign the individual to other duties or suspend him or her at any time and continue the suspension until a final decision concerning discharge has been reached by the procedures prescribed herein. Suspension shall be exceptional and shall be with full pay.

Section 4. Nonreappointment of Tenure Track Faculty Members

a. Permissible and impermissible grounds for nonreappointment

Except as herein provided, the decision not to reappoint a tenure track faculty member upon expiration of a probationary term of appointment is committed, without further recourse, to the judgment of the officers of administration authorized to make it, acting in accordance with prescribed procedures. In exercise of their judgment, whether in the first instance or in review of a recommendation to reappoint, such officers may take into account and use as the basis of decision, in whole or in part, any factors deemed relevant to total institutional interests; except that the decision may not be based upon: (1) exercise by the faculty member of rights guaranteed by the First Amendment to the Constitution of the United States or by Article I of the Constitution of North Carolina; or (2) discrimination based upon the race, color, sex, sexual orientation, religion, creed, national origin, age, disability, or veteran status of the faculty member, or upon other forms of discrimination prohibited under policies adopted by the Board of Trustees; or (3) personal malice. For purposes of this section, the term "personal malice" means dislike, animosity, ill-will or hatred based on personal characteristics, traits, or circumstances of an individual that are not relevant to valid University decision making.⁵ [Amended 7/1/2004; 10/20/2009.]

b. Administrative conferences following decision not to reappoint

Within 14 calendar days after receiving written notice of nonreappointment, a faculty member may in writing request a private conference with the officer of administration who made the decision, to discuss the reasons for nonreappointment. If the identity of the

⁵ See section 101.3.1.II.B of the UNC Policy Manual for details.

officer is not known to the faculty member, the department chair shall provide the information forthwith upon request of the faculty member. The request for conference shall be granted and the conference held forthwith, within 7 calendar days after receipt of the request if possible. Within 7 calendar days after completion of the conference the officer of administration shall give a simple unelaborated written notice to the faculty member as to whether the original decision remains in effect.

If the notice is that the original decision remains in effect, the faculty member may proceed as follows. When the decision not to reappoint was made by an officer of administration in review of the recommendation of a department chair to reappoint, the faculty member may thereupon proceed, in accordance with succeeding subsections, to request review by the standing committee of the faculty charged with reviewing discharges under Section 3 hereof.

When the decision was made in the first instance by the department chair, the faculty member may, within 7 calendar days after receipt of the notice, in writing request a conference with the officer of administration in immediate supervision of the department chair. This request shall be granted and the conference held forthwith, within 7 calendar days after receipt of the request if possible. Within 14 calendar days after completion of the conference, the reviewing officer of administration shall in writing communicate his or her evaluation of the matter to the faculty member and to the department chair.

The evaluation may be in the form of an unelaborated concurrence with the decision; an expression of disagreement with the decision, with or without supporting reasons; or a recommendation for reconsideration of the decision, with or without suggestions for specific procedures to be followed upon reconsideration. Whatever form the evaluation may take, it is merely recommendatory and not binding upon the department chair, nor final as to the faculty member.

Within 7 calendar days after receipt of an evaluation which involves disagreement with the decision or recommendation for its reconsideration, the department chair shall in writing notify the faculty member and his or her immediate supervisor of his or her response.

A faculty member's failure to abide by the timelines specified herein shall finalize the reappointment decision and terminate the faculty member's otherwise available recourse to further review by the hearing committee, the Chancellor, and/or the Board of Governors.

c. Request for review by hearing committee; scope of review

If the faculty member has timely requested and participated in the administrative conferences provided in subsection b. and has received notice of unfavorable action resulting therefrom, the faculty member may within 14 calendar days after receipt of such notice request a review of the decision by the standing committee of the faculty charged (under Section 3 hereof) with conducting hearings on faculty discharges. Such review

may be had solely to determine whether the decision not to reappoint was (1) based upon any of the grounds stated to be impermissible in subsection a. of this Section 4, or (2) affected by material procedural irregularities. Whether procedural irregularities occurred shall be determined by reference to those procedures which were in effect when the initial decision not to reappoint was made and communicated. The hearing committee shall ask the Chancellor to certify what procedures were then in effect if that is a matter of dispute. For purposes of this Section 4, "material procedural irregularities" means departures from prescribed procedures governing reappointment that cast doubt upon the integrity of the original decision not to reappoint.

The request for review shall be in writing and addressed to the chair of the hearing committee. It shall specify the grounds upon which it is contended that the decision was impermissibly based or affected by material procedural irregularities, and shall include a short and plain statement of facts which the faculty member believes support the contention.

Submission of such a request constitutes on the part of the faculty member: (1) a representation that he or she can support his or her contention by factual proof, and (2) an agreement that the institution may offer in rebuttal of his or her contention any relevant data within its possession.

The hearing committee shall consider the request and shall grant a hearing if it determines after a preliminary review that the request contains a contention that the decision was impermissibly based or affected by material procedural irregularities and that the facts suggested, if established, might support the contention. If the request is not granted, the committee shall make a recommendation to the Chancellor to uphold the decision not to reappoint. If the request is granted, a hearing shall be held within 14 calendar days after receipt of the request, provided that the faculty member shall be given at least 7 calendar days' notice of the hearing. [Amended 6/20/80; 1/9/87; 10/20/09]

d. Conduct of hearing

The question before the committee shall be decided by the committee. However, the committee may delegate the duty of conducting a hearing to a panel of at least three members. The hearing shall be conducted informally and in private; only the members of the committee, the faculty member, the officer of administration who made the decision, and such witnesses as may be called shall attend except that the faculty member and the officer of administration may each be assisted or, in their absence, represented by a spokesman designated in writing so to act. Committee members who hold appointments in the faculty member's department or school or who will testify as witnesses, or who have any other conflict of interest are disqualified. A professional court reporter, or similarly reliable means, shall be used to enable the production of a verbatim written transcript of the hearing and to maintain a record of the documents received by the committee. Upon the request of the faculty member, a transcript of the proceedings shall be made and provided to the faculty member at the University's expense. The committee may consider only such evidence and such written and oral arguments as is presented at

the hearing, and need consider only such evidence or argument offered which it considers fair and reliable. All witnesses may be questioned by members of the committee, the faculty member, and the officer of administration or the respective spokesmen of the faculty member and the officer of administration. Except as herein provided, the conduct of the hearing is under the control of the committee chair or the member designated by the chair for this purpose. [Amended 6/20/80, 10/20/2009]

e. Hearing procedure

The hearing shall begin with the faculty member's presentation of contentions, limited to those grounds specified in the request for hearing and supported by such proof as he or she desires to offer. When he or she has concluded this presentation, the hearing committee shall recess to consider whether the proof offered in support of the contention establishes the contention unless it be now rebutted or unless the decision not to reappoint be now otherwise explained. If it determines that the contention has not been so established, it shall so notify the parties to the hearing, terminate the proceedings, and make a recommendation to the Chancellor to uphold the decision not to reappoint. If it determines that rebuttal or explanation is desirable, it shall so notify the parties and the hearing shall proceed. The officer of administration may then present in rebuttal of the faculty member's contentions, or in general support of the decision not to reappoint, such testimonial or documentary proofs as he or she desires to offer, including his or her own testimony. [Amended 6/20/80, 10/20/2009]

At the end of such presentation, the hearing committee shall consider the matter in executive session. The burden of proof is upon the aggrieved faculty member to satisfy the committee by the preponderance of the evidence (which is the same as the greater weight of the evidence) that his or her contention is true. [Amended 6/20/80, 10/20/2009]

f. Procedure after the committee reaches a decision.

If the hearing committee determines not to grant the faculty member a hearing or determines, following a hearing, that the contention of the faculty member has not been established, it shall make a recommendation to the Chancellor to uphold the decision not to reappoint.

If the hearing committee determines that the contention of the faculty member has been satisfactorily established, it shall so notify him or her and the officer of administration by a written notice that shall also include a recommendation for corrective action by the officer of administration.

Within seven calendar days after receiving the recommendation, the officer of administration shall notify the faculty member and the chair of the hearing committee what modification, if any, he or she will make with respect to the original decision not to reappoint.

If the officer of administration fails to make a recommended modification in the original decision, the hearing committee shall submit a report to the Chancellor containing the committee's findings and recommendation and what it considers to be appropriate action by the Chancellor to resolve the matter satisfactorily.

The Chancellor shall make a determination based on a thorough review of (1) the record evidence from the hearing, if a hearing was held, and (2) the report of the hearing committee. The Chancellor shall notify the faculty member and the officer of administration of the decision and, if the decision is adverse to the faculty member, shall inform the faculty member of the faculty member's right to request review of the decision by the Board of Governors, as provided in Section 9. The notice of decision shall be conveyed to the faculty member by a method that produces adequate evidence of delivery.

[Amended 6/20/80; 1/1/04, 10/20/09]

Section 5. Retirement Policy for Members of the Faculty

Each member of the faculty may retire in accordance with the provisions of Chapter 135 of the General Statutes of North Carolina.

Section 6. Termination of Faculty Employment for Reasons of Financial Exigency or Program Change

a. Definitions

Within this Section 6 the following terms have the meanings indicated:

1. "Termination" means the termination of employment of a faculty member during the course of a tenured, probationary, or fixed term appointment for reasons of financial exigency or program change.
2. "Financial exigency" means a significant decline in the financial resources of the University that is brought about by decline in institutional enrollment or by other action or events that compel a reduction in its current operations budget.
3. "Program change" means elimination or major curtailment of a teaching, research, or public service program.
4. "Faculty committee" or "committee" means a committee to be constituted by the faculty of the University which shall consist of not fewer than twelve members of the faculty holding tenured or probationary appointments when elected by the faculty on a basis broadly representative of the various divisions and sub-units of

the University, and which is empowered hereby to discharge the functions prescribed for it in this Section 6. [Amended 9/9/00]

b. General grounds for termination

Termination of faculty employment may be effected because of (i) demonstrable, bona fide financial exigency, or (ii) program change for demonstrable, bona fide institutional reasons, on the basis of a decision by the Chancellor, concurred in by the President and approved by the Board of Governors, that for either cause the University's contractual obligation to one or more faculty members cannot be further met. Such a decision by the Chancellor may be made, and any resulting termination effected, only in accordance with the procedure provided in this Section 6.

c. Chancellor's preliminary determination and statement

If it should appear to the Chancellor that a state of financial exigency exists or is imminent, or a program change has occurred or should seriously be considered, and that termination of the employment of one or more faculty members may be a required consequence of either circumstance, he or she shall forthwith prepare a statement which identifies with reasonable particularity the state of financial exigency or the program change, and which outlines in terms as specific as the circumstances permit the options for institutional response readily apparent to the Chancellor at the time, including any options which would or might involve terminations of faculty employment. This statement shall be transmitted forthwith to the faculty committee, with request for its action in accordance with the provisions of subsection d. hereof. Simultaneously, a summary of the statement shall be published by any means reasonably calculated to bring it to the attention of all members of the faculty in residence, together with a statement that the subject has been referred to the faculty committee for action. Pending committee action, the Chancellor shall undertake, either directly or by delegate, to obtain advice and recommendations in respect of the matters addressed in the statement from all those officers of administration and faculty whose units might reasonably be expected to be affected by the adoption of any identified option involving terminations.

d. Committee action

Acting in accordance with procedures which may be prescribed for it by the faculty, the committee shall address the matters identified in the Chancellor's statement with a view to giving its advice and recommendations thereon to the Chancellor. In this function the committee acts as representative of the interests of the faculty at large in both its individual concerns and its concerns for the educational program of the University. The committee may obtain further information reasonably available to the Chancellor and any clarifications of the situation by the Chancellor which are reasonably possible in the light of information then available. Not later than 30 calendar days after receipt of the statement, the committee shall submit to the Chancellor its written report. The report shall contain advice and recommendations addressed to the precise circumstance and optional responses identified in the Chancellor's statement and may suggest other

responses or courses of action for consideration or adoption by the Chancellor. The report may be accompanied by any communications and other data considered by the committee.

e. Chancellor's decision

Within 30 calendar days after receipt of the report, and having due regard for the advice and recommendations received from the committee and from the officers of administration, the Chancellor shall determine whether any option involving terminations must be retained as a possible institutional response. If he or she determines that it is not necessary, in view of other available options, to give further consideration to any option involving terminations, he or she shall so notify the committee and the faculty. If he or she determines that, on the basis of all information then available, it will be necessary to take action which will or reasonably might involve terminations, he or she shall request concurrence in that decision by the President and approval by the Board of Governors to take such action, and shall notify the committee and the faculty of this decision.

f. Chancellor's proposal for action following Board of Governors' approval of terminations

Within 30 calendar days after receipt of notice of approval of his or her request by the Board of Governors, if the Chancellor still considers that action involving terminations is or may be required, he or she shall transmit to the faculty committee a statement which (i) designates the particular departments in which terminations are to be effected and the factors which are to be used by each of the designated departments in determining the number, and (ii) suggests the criteria to be used by the designated departments in selecting individual faculty members for termination of employment. Simultaneously, the Chancellor shall publish by any means reasonably calculated to bring it to the attention of all members of the faculty in residence a notice that a proposed course of action involving terminations of faculty employment has been referred to the faculty committee for action.

g. Committee action

Acting in accordance with procedures which may be prescribed for it by the faculty, the committee shall address the proposal contained in the Chancellor's statement with a view to giving its advice and recommendations thereon. Not later than 30 calendar days after receipt of the statement, the committee shall submit to the Chancellor its written report containing advice and recommendations addressed to the proposed course of action and to the criteria for determining individual faculty members for terminations of employment. It may concur in whole or in part, suggest other courses of action for consideration, or advise modifications in the proposed course of action or in the criteria for individual faculty member selection.

h. Chancellor's action following committee report

If following receipt of the committee's report, and having due regard for its contents, the Chancellor still considers that action involving terminations is required, he or she shall not later than 30 calendar days after receipt of the report so notify the committee, the chief officers of administration in the affected departments, and, by general notice, the faculty of the University. The notice to the committee and to the officers of administration shall prescribe the specific action required of each department and the criteria to be used by each in initiating termination procedures for individual faculty members. The criteria specified by the Chancellor shall include as the primary consideration the maintenance of a sound and balanced educational program that is consistent with the functions and responsibilities of the University, and shall also include tenure status, length of service in the University, and any other factors deemed relevant by the Chancellor. No final action affecting departments not previously designated for terminations shall be directed until the modified proposal shall have been re-referred to the faculty committee for its response as in the case of the original referral.

i. Individual terminations

Within 60 calendar days after receipt of notice from the Chancellor that terminations are to be effected within a department, the chair of the department, after consultation with the assembled full professors of the department and after taking such other procedures as may have been provided by the faculty of the University, shall initiate the required terminations by recommendations with respect to particular faculty members. These recommendations shall then be reviewed in accordance with the administrative procedures within the institution for reviewing appointments to the respective ranks held by the particular faculty members.

j. Notice to individual faculty members

1. **Contents.** Upon approval by the Chancellor of a recommendation for termination of employment, the faculty member shall be notified in writing of the termination. The notice shall include a statement of the conditions requiring termination of employment, a general description of the procedures followed in making the decision, and a disclosure of pertinent financial or other data upon which the decision was based.
2. **Timeliness.** When termination is based upon program change unrelated to financial exigency, a faculty member on tenured appointment shall be given not less than twelve months notice in advance of its effective date, and a faculty member on probationary or fixed term appointment shall be given not less than 90 calendar days notice during the first year of service, not less than 180 calendar days notice during the second year of service, and not less than twelve months notice after two or more years of continuous service.

When termination is based upon financial exigency, the University shall make every reasonable effort, consistent with the need to maintain sound educational programs and within the limit of available resources, to give the same advance notice as is required for terminations based upon program change alone.

k. Obligations with respect to reemployment or other employment

For a period of two years after the effective date of a termination pursuant to the provisions of this Section 6, the University shall not replace the faculty member without first offering the position to the person whose employment was terminated. The offer shall be made by registered mail, return receipt requested, and shall provide a period for acceptance of 30 calendar days following attempted delivery. When requested by the person whose employment has been terminated, the University shall give reasonable assistance in finding other employment for him or her.

1. Review of individual terminations

1. Request for hearing

Within 30 calendar days after receipt of a notice of termination, a faculty member may request a review of the action by the standing committee of the faculty charged with conducting hearings on discharges of faculty members (under Section 3 hereof). Review may be had solely to determine whether the decision to terminate was arbitrary or capricious.

The request for review shall be in writing, addressed to the chair of the hearing committee. It shall specify the grounds upon which it is contended that the decision was arbitrary or capricious, and shall include a short and plain statement of facts which the faculty member believes support the contention.

Submission of such a request constitutes on the part of the faculty member (i) a representation that he or she can support his or her contention by factual proof, and (ii) an agreement that the University may offer in rebuttal of his or her contention any relevant data within its possession.

The hearing committee shall consider the request and shall grant a hearing if it determines that the request contains a bona fide contention that the decision to terminate was arbitrary or capricious, and that the facts suggested, if established, might support the contention. A decision not to grant the request is not subject to review, except as provided in Section 8. If the request is granted, a hearing shall be held within 14 calendar days after receipt of the request, provided that the faculty member shall be given at least 7 calendar days' notice of the hearing. [Amended 6/20/80]

2. Conduct of hearing

The question before the committee shall be decided by the committee. However, the committee may delegate the duty of conducting a hearing to a panel of at least three members. The hearing shall be conducted informally and in private; only the members of the committee, the faculty member, an officer of administration designated by the Chancellor, and such witnesses as may be called shall attend, except that the faculty member and the Chancellor's delegate may each be assisted or, in their absence, represented by a spokesman designated in writing so to act. Hearing committee members who hold appointment in the department of the faculty member, or who will testify as witnesses or who have any other conflict of interest are disqualified. Upon request of the faculty member, a transcript of the proceeding shall be made and provided to the faculty member at University expense. The hearing committee may consider only such evidence as is presented at the hearing, and need consider only that offered which it considers fair and reliable. All witnesses may be questioned by the members of the committee, the faculty member, and the Chancellor's delegate, or the respective spokesmen of the faculty member and the Chancellor's delegate. Except as herein provided, the conduct of the hearing is under the control of the chair of the hearings committee or the member designated by the chair for this purpose. [Amended 6/20/80]

The hearing shall begin with the faculty member's presentation of contentions, limited to those grounds specified in the request for hearing and supported by such proof as he or she desires to offer. When this presentation is concluded, the hearing committee shall recess to consider whether the proof offered in support of the contention establishes the contention unless it be now rebutted. If it determines that the contention has not been so established, it shall so notify the parties and conclude the proceedings, which action is not subject to review except as provided in Section 8. If it determines that rebuttal is desirable, it shall so notify the parties and the hearing shall proceed. The Chancellor's delegate may then present, in rebuttal of the faculty member's contention or in general support of the decision to terminate, such testimonial or documentary proofs as he or she desires to offer, including his or her own testimony. [Amended 6/20/80]

At the conclusion of the presentation by the Chancellor's delegate the hearing committee shall consider the matter in executive session. The burden is upon the faculty member to satisfy the committee by clear, cogent, and convincing evidence that his or her contention is true. [Amended 6/20/80]

3. Procedure after hearing

If the hearing committee determines that the contention of the faculty member has not been established, it shall, by a simple unelaborated

statement, so notify the faculty member and the Chancellor. Such a determination is not subject to review, except as provided in Section 8. If the hearing committee determines that the contention of the faculty member has been established, it shall so notify the faculty member and the Chancellor by a written notice which shall also include a recommendation for corrective action to be taken by the Chancellor. [Amended 6/20/80]

Section 7. Effectiveness

Except as otherwise provided below, all provisions of these policies and regulations shall become operative (with respect to all existing as well as future faculty appointments) on the effective date, which shall be the date 35 calendar days after the day on which these policies and regulations shall have been approved by the President of The University of North Carolina:

The policies and regulations herein set forth shall not be applied to alter existing incidents of academic tenure⁶ to the disadvantage of any person who shall have been a member of the faculty immediately prior to the effective date.

Section 8. Review by the Board of Trustees

This section shall apply to review by the Board of Trustees of the following decisions made pursuant to these policies and regulations:

- (1) A decision by the Chancellor under §3.b.8. declining to accept a recommendation of the hearings committee favorable to the faculty member.
- (2) A decision by the Chancellor under §3.b.8. concurring in a hearings committee recommendation unfavorable to the faculty member.
- (3) A decision by the hearings committee under §6.l.1. rejecting a request for a hearing.
- (4) A decision by the hearings committee under §6.l.2. terminating a hearing at the conclusion of the faculty member's proof.

⁶ As used here, the phrase "existing incidents of academic tenure" means those characteristics of academic ranks set out in Section 4-2(b) of the "Code Provisions Governing The University of North Carolina, Bylaws of the Board of Trustees, and Duties of the University Officers—1970."

EDITOR'S NOTE: This footnote references a document that appears to have been revoked or substantially revised between the restructuring of The University of North Carolina in 1972 and adoption of the current edition of The Code of the Board of Governors of The University of North Carolina in 1988. A currently effective counterpart has not been identified.

- (5) A decision by the hearings committee under §6.l.3. determining that the faculty member has not established his or her contention.
- (6) A decision by the Chancellor under §6.l.3. declining to take corrective action recommended by the hearings committee in connection with a decision favorable to the faculty member.

Requests for review by the Board of Trustees of the decisions enumerated above shall be transmitted through the Chancellor and addressed to the Chair of the Board of Trustees. The request must be filed within fourteen calendar days after the date of communication to the faculty member of notice of the decision sought to be reviewed. The question under review shall be decided by the full Board of Trustees. However, the Board may delegate the duty of conducting a hearing to a committee of at least three members. The Board of Trustees, or its committee, will conduct its review on the written transcript of the hearing, the report of the hearing committee, and the decision of the Chancellor, but it may, in its discretion, hear such other evidence as it deems necessary. In all cases, review shall be limited to the question of whether the Chancellor or the hearings committee, as the case may be, committed clear and material error in reaching the decision under review. The Board shall make its decision as soon as reasonably possible after receipt of the request for review by the Chair of the Board. This decision shall be final, except that, with respect to a decision by the Chancellor under § 3.b.8 declining to accept a recommendation of the hearings committee favorable to the faculty member or a decision by the Chancellor under § 3.b.8. concurring in a hearings committee recommendation unfavorable to the faculty member, the faculty member may, within fourteen calendar days after receiving notice of the decision, file a written notice of appeal with The Board of Governors alleging with particularity the specific provisions of The Code of The University of North Carolina which the faculty member alleges to have been violated. All such appeals shall be transmitted to The Board of Governors by certified mail, return receipt requested, or by another means that provides proof of delivery, through the President. [Amended 6/20/80; 1/9/87; 1/1/04; 10/20/09]

Section 9. Review by the Board of Governors

In addition to appeals to the Board of Governors provided for in Section 8 hereof, a decision by the Chancellor not to reappoint a faculty member may be reviewed by The Board of Governors. Review by the Board of Governors is intended only to determine if the campus-based process or decision had material procedural errors, was clearly erroneous, or was contrary to controlling law or policy. Requests for review by The Board of Governors shall be made in accordance with the requirements of The Code of The Board of Governors of The University of North Carolina and the UNC Policy Manual, including the requirement that the request be submitted to the President by certified mail, return receipt requested, or by other method that produces adequate evidence of delivery, within 14 calendar days after the faculty member's receipt of the adverse decision. [Added 1/1/04, Amended 10/20/2009]

Appendix

Provisions of The Code of the Board of Governors of The University of North Carolina Pertaining to Academic Tenure

CHAPTER VI ACADEMIC FREEDOM AND TENURE

SECTION 600 FREEDOM AND RESPONSIBILITY IN THE UNIVERSITY COMMUNITY.

(1) The University of North Carolina is dedicated to the transmission and advancement of knowledge and understanding. Academic freedom is essential to the achievement of these purposes. The University therefore supports and encourages freedom of inquiry for faculty members and students, to the end that they may responsibly pursue these goals through teaching, learning, research, discussion, and publication, free from internal or external restraints that would unreasonably restrict their academic endeavors

(2) The University and each constituent institution shall protect faculty and students in their responsible exercise of the freedom to teach, to learn, and otherwise to seek and speak the truth.

(3) Faculty and students of the University of North Carolina shall share in the responsibility for maintaining an environment in which academic freedom flourishes and in which the rights of each member of the academic community are respected.

SECTION 601. ACADEMIC FREEDOM AND RESPONSIBILITY OF FACULTY.

(1) It is the policy of the University of North Carolina to support and encourage full freedom, within the law, of inquiry, discourse, teaching, research, and publication for all members of the academic staffs of the constituent institutions. Members of the faculty are expected to recognize that accuracy, forthrightness, and dignity befit their association with the University and their position as men and women of learning. They should not represent themselves, without authorization, as spokespersons for the University of North Carolina or any of its constituent institutions.

(2) The University and its constituent institutions shall not penalize or discipline members of its faculties because of the exercise of academic freedom in the lawful pursuit of their respective areas of scholarly and professional interest and responsibility.

SECTION 602.

ACADEMIC TENURE.⁷

(1) To promote and protect the academic freedom of its faculty, the board of trustees of each constituent institution shall adopt policies and regulations governing academic tenure. Policies adopted by a board of trustees regarding academic tenure and promotion shall be effective upon review by the senior vice president for academic affairs and the vice president and general counsel, and approved by the president. The chancellor shall review the constituent institution's tenure policies periodically, but at least every five years, and shall report to the president whether or not amendments or revisions are appropriate. The chancellor shall involve the faculty in this review.

(2) In all instances, the tenure conferred on a faculty member is held with reference to employment by a constituent institution, rather than to employment by the University of North Carolina.

(3) The tenure policies and regulations of each constituent institution⁸ shall prescribe the procedures by which decisions concerning appointment, reappointment, promotion, and the conferral of permanent tenure shall be made. The length of terms of appointment that do not carry permanent tenure and those faculty ranks or titles whose holders shall be eligible for permanent tenure shall be prescribed. The institutional policies and regulations also shall prescribe the intervals at which the review of candidates for reappointment and promotion, including the conferral of permanent tenure, shall occur. The tenure policies and regulations of each institution, which shall include the complete text of Chapter VI of *The Code*, shall be published by the institution and distributed to its faculty members.

(4) The tenure policies and regulations of each institution shall set forth the general considerations upon which appointment, reappointment, promotion, and permanent tenure are to be recommended. The institutional regulations shall provide that these considerations shall include an assessment of at least the following: the faculty member's demonstrated professional competence, the faculty member's potential for future contribution, and institutional needs and resources.

⁷Pursuant to NCGS §116-11(13), and notwithstanding *The Code* or any other Board of Governors policy, the Board of Governors delegates certain authorities to the President of the University. See Policy 200.6, *Delegation Authority to the President of the University*, adopted 11/13/06, amended 06/08/07.

⁸Because of the unique character and mission of the University of North Carolina School of the Arts and of the North Carolina School of Science and Mathematics, the requirement that the institution adopt tenure policies will be satisfied at those institutions by an employment system based on renewable contracts, which system need not provide for the traditional faculty ranks. Wherever the phrase "tenure policies and regulations" is used in this chapter, it shall mean, for the School of the Arts and for the School of Science and Mathematics, the faculty employment policies of those schools. Wherever the phrase "tenured faculty" is used in this chapter and in the Policies of the Board of Governors, it shall mean, for those schools, a faculty member holding a fixed-term contract.

(5) The institutional policies and regulations shall specify that permanent tenure may be conferred only by action of the president and the Board of Governors, or by such other agencies or officers as may be delegated such authority by the Board of Governors.⁹

(6) Institutional tenure policies and regulations shall distinguish among the following:

(a) the nonreappointment (or nonrenewal) of a faculty member at the expiration of a specified term of service;

(b) the discharge from employment of a faculty member with permanent tenure or of a faculty member appointed to a specified term of service before that term expires only for reasons of (i) incompetence, (ii) neglect of duty, or (iii) misconduct of such a nature as to indicate that the individual is unfit to continue as a member of the faculty, as specified in Code Section 603;

(c) the termination of employment for reasons of institutional financial exigency or major curtailment or elimination of a teaching, research, or public-service program of a faculty member who has permanent tenure, or of a faculty member who has been appointed to a specified term of service before that term expires; and

(d) retirement.

(7) Institutional tenure policies and regulations shall provide that the appointment, reappointment, or promotion of a faculty member to a position funded in whole or in substantial part from sources other than continuing state budget funds or permanent trust funds shall specify in writing that the continuance of the faculty member's services, whether for a specified term or for permanent tenure, shall be contingent upon the continuing availability of such funds. The institutional tenure policies and regulations may make one or more of the following exceptions to the foregoing contingency requirement:

(a) That such a contingency shall not be included in a promotion to a higher rank if, before the effective date of that promotion, the faculty member had permanent tenure and no such condition is attached to the tenure.

(b) That such a contingency shall not be attached to the faculty member's contract if the faculty member held permanent tenure in that institution on July 1, 1975, and the contract was not contingent upon the continuing availability of sources other than continuing state budget or

⁹See Footnote 8 on previous page.

permanent trust funds.

(c) That such a contingency may be waived for health affairs faculties because of the unusual dependence of programs in the health professions on income from sources such as clinical receipts.

If a faculty member's appointment is terminated because of the nonavailability of these funds, the institution will make every reasonable effort to give the same notice as set forth in Section 605 B (1). This notice shall include the pertinent data upon which the termination is based.

(8) The tenure policies and regulations of each institution shall be subject to approval by the president. The president periodically shall review and re-evaluate these policies and regulations and report findings and recommendations, if any, to the Committee on Personnel and Tenure and through the committee to the Board of Governors.

SECTION 603. DUE PROCESS BEFORE DISCHARGE OR THE IMPOSITION OF SERIOUS SANCTIONS.

(1) A faculty member who is the beneficiary of institutional guarantees of tenure shall enjoy protection against unjust and arbitrary application of disciplinary penalties. During the period of such guarantees the faculty member may be discharged from employment, suspended, or demoted in rank for reasons of:

(a) incompetence, including significant, sustained unsatisfactory performance after the faculty member has been given an opportunity to remedy such performance and fails to do so within a reasonable time;

(b) neglect of duty, including sustained failure to meet assigned classes or to perform other significant faculty professional obligations; or

(c) misconduct of such a nature as to indicate that the individual is unfit to continue as a member of the faculty, including violations of professional ethics, mistreatment of students or other employees, research misconduct, financial fraud, criminal, or other illegal, inappropriate or unethical conduct. To justify serious disciplinary action, such misconduct should be either (i) sufficiently related to a faculty member's academic responsibilities as to disqualify the individual from effective performance of university duties, or (ii) sufficiently serious as to adversely reflect on the individual's honesty, trustworthiness or fitness to be a faculty member.

These sanctions may be imposed only in accordance with the procedures prescribed in this section. For purposes of this Code, a faculty member serving a stated term shall be regarded as having tenure until the end of that term. These procedures shall not apply to nonreappointment (Section 604) or termination of employment (Section 605).

(2) The chief academic officer of the institution, however titled, shall send the

faculty member a written notice of intention to discharge the faculty member or impose a serious sanction together with a written specification of the reasons. The notice and specification of reasons shall be sent by a method of mail or delivery that requires a signature for delivery. The statement shall include notice of the faculty member's right, upon request, to a hearing by an elected standing faculty committee on hearings.

(3) If, within 14 calendar days after receiving the notice and written specifications referred to in paragraph (2) above, the faculty member makes no written request for a hearing, the faculty member may be discharged or serious sanction imposed without recourse to any institutional grievance or appellate procedure.¹⁰

(4) Repealed.

(5) If the faculty member makes a timely written request for a hearing, the chancellor shall ensure a process is in place so that the hearing is timely accorded before an elected standing committee of the institution's faculty. The hearing shall be on the written specification of reasons for the intended discharge or imposition of a serious sanction. The hearing committee shall accord the faculty member 30 calendar days from the time it receives the faculty member's written request for a hearing to prepare a defense. The hearing committee may, upon the faculty member's written request and for good cause, extend this time by written notice to the faculty member. The hearing committee will ordinarily endeavor to complete the hearing within 90 calendar days except under unusual circumstances such as when a hearing request is received during official university breaks and holidays and despite reasonable efforts the hearing committee cannot be assembled.¹¹

(6) The hearing shall be closed to the public unless the faculty member and the hearing committee agree that it may be open. The faculty member shall have the right to counsel, to present the testimony of witnesses and other evidence, to confront and cross-examine adverse witnesses, to examine all documents and other adverse demonstrative evidence, and to make argument. A written transcript of all proceedings shall be kept; upon request, a copy thereof shall be furnished to the faculty member at the institution's expense.

(7) The chief academic officer, or designee, and/or counsel, may participate in the hearing to present testimony of witnesses and other evidence, to cross-

¹⁰In computing any period of time, the day in which notice is received is not counted but the last day of the period being computed is to be counted.

¹¹To meet this deadline, faculty are encouraged to consider scheduling hearings during the evening, weekend, or other non-class time. It is strongly recommended that several days and times be established for the hearing when scheduling the first day, for the eventuality that they hearing may take two or more sessions.

examine witnesses, to examine all documents and other evidence, and to make argument.

(8) In reaching decisions on which its written recommendations to the chancellor shall be based, the committee shall consider only the evidence presented at the hearing and such written or oral arguments as the committee, in its discretion, may allow. The university has the burden of proof. In evaluating the evidence, the committee shall use the standard of “clear and convincing” evidence in determining whether the institution has met its burden of showing that permissible grounds for serious sanction exist and are the basis for the recommended action. The committee shall make its written recommendations to the chancellor within 14 calendar days after its hearing concludes or after the full transcript is received, whichever is later.

(9) If the chancellor concurs in a recommendation of the committee that is favorable to the faculty member, the chancellor’s decision shall be final. If the chancellor either declines to accept a committee recommendation that is favorable to the faculty member or concurs in a committee recommendation that is unfavorable to the faculty member, the faculty member may appeal the chancellor's decision to the board of trustees. This appeal shall be transmitted through the chancellor and be addressed to the chair of the board. Notice of appeal shall be filed within 14 calendar days after the faculty member receives the chancellor's decision. The appeal to the board of trustees shall be decided by the full board of trustees. However, the board may delegate the duty of conducting a hearing to a standing or ad hoc committee of at least three members. The board of trustees, or its committee, shall consider the appeal on the written transcript of hearings held by the faculty hearing committee, but it may, in its discretion, hear such other evidence as it deems necessary. The board of trustees' decision shall be made as soon as reasonably possible after the chancellor has received the faculty member’s request for an appeal to the trustees. This decision shall be final except that the faculty member may, within 14 calendar days after receiving the trustees' decision, file a written notice of appeal, by certified mail, return receipt requested, or by another means that provides proof of delivery, with the Board of Governors if the faculty member alleges that one or more specified provisions of the *Code of the University of North Carolina* have been violated. Any such appeal to the Board of Governors shall be transmitted through the president.

(10) When a faculty member has been notified of the institution's intention to discharge the faculty member, the chancellor may reassign the individual to other duties or suspend the individual at any time until a final decision concerning discharge has been reached by the procedures prescribed herein. Suspension shall be exceptional and shall be with full pay.

SECTION 604. APPOINTMENT, NONREAPPOINTMENT AND REQUIREMENTS OF NOTICE AND REVIEW FOR TENURE TRACK FACULTY.^{12.1}

604 A. Notice of Reappointment or Nonreappointment.^{12.2}

(1) The decision not to reappoint a faculty member at the expiration of a fixed term of service shall be made by the appropriate institutional faculty and administrative officers early enough to permit timely notice to be given.^{12.3} For full-time faculty at the rank of instructor, assistant professor, associate professor, or professor, the minimum requirement for timely notice shall be as follows:

- (a) during the first year of service at the institution, the faculty member shall be given not less than 90 calendar days' notice before the employment contract expires; and
- (b) during the second year of continuous service at the institution, the faculty member shall be given not less than 180 calendar days' notice before the employment contract expires; and
- (c) after two or more years of continuous service at the institution, the faculty member shall be given not less than 12 months' notice before the employment contract expires.

^{12.1}Because of the unique character and mission of the University of North Carolina School of the Arts and of the North Carolina School of Science and mathematics, regular faculty holding fixed-term contracts at those institutions are entitled to the rights afforded in this Section.

^{12.2}***Prior to January 1, 2004, Section 604 A read as follows:***

(1) The decision not to reappoint a faculty member at the expiration of a fixed term of service shall be made by the appropriate institutional faculty and administrative officers early enough to permit timely notice to be given. For full-time faculty at the rank of instructor, assistant professor, associate professor, or professor, the minimum requirement for timely notice shall be as follows:

- (a) during the first year of service at the institution, the faculty member shall be given not less than 90 calendar days' notice before the employment contract expires;
- (b) during the second year of continuous service at the institution, the faculty member shall be given not less than 180 calendar days' notice before the employment contract expires; and
- (c) after two or more years of continuous service at the institution, the faculty member shall be given not less than twelve months' notice before the employment contract expires.

(2) Notice of reappointment or nonreappointment shall be written. If the decision is not to reappoint, then failure to give timely notice of nonreappointment will oblige the chancellor thereafter to offer a terminal appointment of one academic year.

^{12.3}Faculty at North Carolina School of Science and Mathematics shall be given notice no later than January 15 during the first year of continuous regular service and no later than December 15 during the second or any subsequent year of continuous regular service.

(2) Notice of reappointment or nonreappointment shall be written. If the decision is not to reappoint, then failure to give timely notice of nonreappointment will oblige the chancellor thereafter to offer a terminal appointment of one academic year.

604 B. Impermissible Reasons for Nonreappointment.

In no event shall a decision not to reappoint a faculty member be based upon (a) the exercise by the faculty member of rights guaranteed by the First Amendment to the United States Constitution, or by Article I of the North Carolina Constitution, or (b) the faculty member's race, color, sex, religion, creed, national origin, age, disability, veteran's status, or other forms of discrimination prohibited under policies adopted by campus Boards of Trustees, or (c) personal malice. For purposes of this section, the term "personal malice" means dislike, animosity, ill-will, or hatred based on personal characteristics, traits or circumstances of an individual. See Policy 101.3.1 II.B. for details.

604 C. Repealed.

604 D. Review of Nonreappointment Decisions.

(1) Campus Based Review. Subject to limitations contained in this Code and the Policies of the Board of Governors, each constituent institution shall have a procedure whereby a tenure track faculty member may seek review of the decision of the constituent institution not to reappoint the faculty member. Such procedures shall at a minimum provide for the following:

(a) A reasonable time of no less than 14 calendar days within which after receiving the notice of nonreappointment, the faculty member may request review of the decision by appropriate faculty committee and administrative officers. If the faculty member does not request review of the notice of non-reappointment in a timely fashion as specified by campus tenure policies, the nonreappointment is final without recourse to any further review by faculty committees, the institution, or the Board of Governors.

(b) If the faculty member files a request for review in a timely fashion, the chancellor shall ensure a process is in place so that a hearing is timely accorded before an elected standing committee of the institution's faculty.

(c) In reaching decisions on which its written recommendations to the chancellor shall be based, the committee shall consider only the evidence presented at the hearing and such written or oral arguments as the committee, in its discretion, may allow. The faculty member shall have the burden of proof. In evaluating the evidence the committee shall use the standard of preponderance of the evidence (which is the same as the greater weight of the evidence.)

(d) The purpose of the campus based review process is to determine (1) whether the decision was based on considerations that *The Code* provides are impermissible; and (2) whether the procedures followed to reach the decision materially deviated from prescribed procedures such that doubt is cast on the integrity of the decision not to reappoint.

(2) Appeal to the Board of Governors. If the chancellor concurs in a recommendation of the committee that is favorable to the faculty member, the chancellor's decision shall be final. If the chancellor either declines to accept a committee recommendation that is favorable to the faculty member or concurs in a committee recommendation that is unfavorable to the faculty member, the faculty member may appeal by filing a written notice of appeal with the Board of Governors, by submitting such notice to the President, by certified mail, return receipt requested, or by another means that provides proof of delivery, with 14 calendar days after the faculty member's receipt of the chancellor's decision. The notice must contain a brief statement of the basis for the appeal. The purpose of appeal to the Board of Governors is to assure (1) that the campus-based process for reviewing the decision was not materially flawed, so as to raise questions about whether the faculty member's contentions were fairly and reliably considered, (2) that the result reached by the chancellor was not clearly erroneous, and (3) that the decision was not contrary to controlling law or policy.^{12.4}

SECTION 605. TERMINATION OF FACULTY EMPLOYMENT.

605 A. Definition.

The tenure policies and regulations of each institution shall provide that the employment of faculty members with permanent tenure or of faculty members appointed to a fixed term may be terminated by the institution because of (1) demonstrable, bona fide institutional financial exigency or (2) major curtailment or elimination of a teaching, research, or public-service program. "Financial exigency" is defined as a significant decline in the financial resources of the institution that is brought about by decline in institutional enrollment or by other action or events that compel a reduction in the institution's current operations budget. The determination of whether a condition of financial exigency exists or whether there shall be a major curtailment or elimination of a teaching, research, or public-service program shall be made by the chancellor, after consulting with the academic administrative officers and faculties as required by Section 605C (1), subject to the concurrence by the President and then approval by the Board of Governors. If the financial exigency or curtailment or elimination of program is such that the institution's contractual obligation to a faculty member may not be met, the employment of the faculty member may be terminated in accordance with institutional procedures that afford the faculty member a fair hearing on that decision.¹³

^{12.4} See Policy 101.3.1 for additional information

¹³ Because of the unique character and mission of the North Carolina School of Science and Mathematics, when the employment of a faculty member is to be terminated during or at the conclusion of a fixed-term contract because of

605 B. Timely Notice of Termination.

(1) When a faculty member's employment is to be terminated because of major curtailment or elimination of a teaching, research, or public-service program and such curtailment or elimination of program is not founded upon financial exigency, the faculty member shall be given timely notice as follows:

(a) one who has permanent tenure shall be given not less than 12 months' notice; and

(b) one who was appointed to a fixed term and does not have permanent tenure shall be given notice in accordance with the requirements specified in Section 604 A(1).

(2) When a faculty member's employment is to be terminated because of financial exigency, the institution will make every reasonable effort, consistent with the need to maintain sound educational programs and within the limits of available resources, to give the same notice as set forth in Section 605 B(1).

(3) For a period of two years after the effective date of termination of a faculty member's contract for any of the reasons specified in Section 605 A, the institution shall not replace the faculty member without first offering the position to the person whose employment was terminated. The offer shall be made by a method of delivery that requires a signature for delivery, and the faculty member will be given 30 calendar days after attempted delivery of the notice to accept or reject the offer.

major curtailment or elimination of a teaching, research, or public-service program that is not founded upon financial exigency, written notice shall be given no later than the November 1 prior to termination. When faculty employment is to be terminated during or at the conclusion of a fixed-term contract because of financial exigency, the School shall make every reasonable effort, consistent with the need to maintain sound educational programs and within the limits of available resources, to give notice no later than the November 1 prior to termination. Terminations at the end of a fixed term contract for the reasons stated above in this footnote are not subject to Section 604 of *The Code*, but instead are subject to Section 605.

605 C. Institutional Procedures.^{13.1}

The institution shall establish regulations governing termination procedures. These regulations shall include provisions incorporating the following requirements:

(1) If it appears that the institution will experience an institutional financial exigency or needs seriously to consider a major curtailment or elimination of a teaching, research, or public-service program, the chancellor or chancellor's delegate shall first seek the advice and recommendations of the academic administrative officers and faculties of the departments or other units that might be affected.

(2) In determining which faculty member's employment is to be terminated for reasons set forth in Section 605 A, the chancellor shall give consideration to tenure status, to years of service to the institution, and to other factors deemed relevant, but the primary consideration shall be the maintenance of a sound and balanced educational program that is consistent with the functions and responsibilities of the institution.

(3) An individual faculty member whose employment is to be terminated shall be notified of this fact in writing. This notice shall include a statement of the conditions requiring termination of employment, a general description of the procedures followed in making the decision, and a disclosure of pertinent financial or other data upon which the decision was based.

(4) A reconsideration procedure shall be provided that affords the faculty member whose employment is to be terminated a fair hearing on the termination if the faculty member alleges that the decision to terminate was arbitrary or capricious.

^{13.1} Prior to January 1, 2004, Section 605 C read as follows:

(1) If it appears that the institution will experience an institutional financial exigency or needs seriously to consider a major curtailment or elimination of a teaching, research, or public-service program, the chancellor or chancellor's delegate shall first seek the advice and recommendations of the academic administrative officers and faculties of the departments or other units that might be affected.

(2) In determining which faculty member's employment is to be terminated for reasons set forth in Section 605A, the chancellor shall give consideration to tenure status, to years of service to the institution, and to other factors deemed relevant, but the primary consideration shall be the maintenance of a sound and balanced educational program that is consistent with the functions and responsibilities of the institution.

(3) An individual faculty member whose employment is to be terminated shall be notified of this fact in writing. This notice shall include a statement of the conditions requiring termination of employment, a general description of the procedures followed in making the decision, and a disclosure of pertinent financial or other data upon which the decision was based.

(4) A reconsideration procedure shall be provided that affords the faculty member whose employment is to be terminated a fair hearing on the termination if the faculty member alleges that the decision to terminate was arbitrary or capricious.

(5) The institution, when requested by the faculty member, shall give reasonable assistance in finding other employment for a faculty member whose employment has been terminated.

(6) The faculty member may appeal the reconsideration decision in the manner provided by Section 501C (4).

(5) The institution, when requested by the faculty member, shall give reasonable assistance in finding other employment for a faculty member whose employment has been terminated.

(6) A faculty member whose employment is terminated pursuant to this Section 605 may appeal the reconsideration decision to the board of trustees of the constituent institution.

SECTION 606. RETIREMENT OF FACULTY.

Faculty may retire in accordance with the provisions of Chapter 135 of the North Carolina General Statutes.

SECTION 607. FACULTY GRIEVANCE COMMITTEE FOR CONSTITUENT INSTITUTIONS.^{13.2}

(1) The chancellor of each constituent institution shall provide for the establishment of a faculty grievance committee. The faculty grievance committee shall be elected by the faculty with members elected from each professorial rank. No officer of administration shall serve on the committee. For purposes of this

^{13.2}Prior to January 1, 2004 Section 607 read as below:

(1)The chancellor of each constituent institution shall provide for the establishment of a faculty grievance committee. The faculty grievance committee shall be elected by the faculty with members elected from each professorial rank. No officer of administration shall serve on the committee. For purposes of this section, "officer of administration" shall be deemed to include department chairs and department heads.

(2)The committee shall be authorized to hear, mediate, and advise with respect to the adjustment of grievances of members of the faculty. The power of the committee shall be solely to hear representations by the persons directly involved in a grievance, to mediate voluntary adjustment by the parties, and to advise adjustment by the administration when appropriate. Advice for adjustment in favor of an aggrieved faculty member may be given to the chancellor only after the dean, department head, or other administrative official most directly empowered to adjust it has been given similar advice and has not acted upon it within a reasonable time.

(3)"Grievances" within the province of the committee's power shall include matters directly related to a faculty member's employment status and institutional relationships within the constituent institution. However, no grievance that grows out of or involves matters related to a formal proceeding for the suspension, discharge or termination of a faculty member, or that is within the jurisdiction of another standing faculty committee, may be considered by the committee.

(4)If any faculty member has a grievance, the faculty member may petition the faculty grievance committee for redress. The petition shall be written and shall set for the in detail the nature of the grievance and against whom the grievance is directed. It shall contain any information that the petitioner considers pertinent to the case. The committee shall decide whether the facts merit a detailed investigation so that submission of a petition shall not result automatically in an investigation or detailed consideration of the petition.

(5)If, before this section is established, the faculty of an institution has adopted a faculty grievance procedure that in its judgment is adequate to its needs, it may retain that procedure in place of the one specified above. [This section became effective July 1, 1975.]

section, "officer of administration" shall be deemed to include department chairs and department heads.

(2) The committee shall be authorized to hear and advise with respect to the adjustment of grievances of members of the faculty. The power of the committee shall be solely to hear representations by the persons directly involved in a grievance, to facilitate voluntary adjustment by the parties, and to advise adjustment by the administration when appropriate. Advice for adjustment in favor of an aggrieved faculty member may be given to the chancellor only after the dean, department head, or other administrative official most directly empowered to adjust it has been given similar advice and has not acted upon it within a reasonable time.

(3) "Grievances" within the province of the committee's power shall include matters directly related to a faculty member's employment status and institutional relationships within the constituent institution, including matters related to post-tenure review. However, no grievance that grows out of or involves matters related to a formal proceeding for the suspension, discharge or termination of a faculty member, or that is within the jurisdiction of another standing faculty committee, may be considered by the committee.

(4) If any faculty member has a grievance, the faculty member may petition the faculty grievance committee for redress. The petition shall be written and shall set forth in detail the nature of the grievance and against whom the grievance is directed. It shall contain any information that the petitioner considers pertinent to the case. The committee shall decide whether the facts merit a detailed investigation so that submission of a petition shall not result automatically in an investigation or detailed consideration of the petition.

(5) If, before this section is established, the faculty of an institution has adopted a faculty grievance procedure that in its judgment is adequate to its needs, it may retain that procedure in place of the one specified above.

(6) If neither the relevant administrative official nor the chancellor makes an adjustment that is advised by the faculty grievance committee in favor of the aggrieved faculty member, then the faculty member may appeal to the board of trustees of the constituent institution. The decision of the board of trustees is final.

SECTION 608. STUDENTS' RIGHTS AND RESPONSIBILITIES.

(1) The University of North Carolina affirms that the first goal of each constituent institution is to educate the students admitted to its programs. The freedom of students to learn is an integral and necessary part of the academic freedom to which the University and its constituent institutions are dedicated. Each constituent institution shall provide, within allotted functions and available resources, opportunity for its students to derive educational benefits through developing their intellectual capabilities, encouraging their increased wisdom and understanding, and enhancing their knowledge and experience applicable to the

effective discharge of civic, professional, and social responsibilities. No constituent institution shall abridge either the freedom of students engaged in the responsible pursuit of knowledge or their right to fair and impartial evaluation of their academic performance.

(2) All students shall be responsible for conducting themselves in a manner that helps to enhance an environment of learning in which the rights, dignity, worth, and freedom of each member of the academic community are respected.

(3) In applying regulations in the area of student discipline, each constituent institution shall adhere to the requirements of due process as set forth in Section 502 D(3) of this *Code*.

SECTION 609. APPELLATE JURISDICTION OF THE BOARD OF GOVERNORS.

609 A. Discretionary Review.

Nothing contained in Chapter VI, or any other chapter of the *Code*, shall be construed to limit the right of the Board of Governors to make such inquiry and review into personnel actions as it may from time to time deem appropriate.

609 B. Hearings.

The Board of Governors may in its sole discretion conduct hearings. Any hearing, whether before the full board or a designated standing or special committee of the board, shall be limited to such matters as the Board of Governors shall deem appropriate.

609 C. Repealed.

609 D. Transmission of Appeals

All appeals addressed to or requests for hearings by the Board of Governors, from whatever source, shall be transmitted through the president.

SECTION 610. RIGHTS OF SPECIAL FACULTY MEMBERS

(1) Faculty members who are appointed as visiting faculty members, adjunct faculty, lecturers, artists-in-residence, writers-in-residence or other special categories are regarded as “special faculty members” for purposes of the University Code. Special faculty members may be paid or unpaid.

(2) Special faculty members who are paid shall be appointed for a specified term of service, as set out in writing in the letter of appointment. The term of appointment of any paid special faculty member concludes at the end of the specified period set forth in the letter of appointment, and the letter of appointment constitutes full and timely notice that a new term will not be granted when that term expires.

(3) Special faculty members who are not paid may be appointed for a specified term of service or at will. Their pay and appointment status should be set out in the letter of appointment.

(4) During the term of their employment, special faculty members are entitled to seek recourse under Section 607 of the University Code (relating to faculty grievances).

(5) Special faculty members, whether paid or unpaid, are not covered by Section 604 of the University Code, and that section does not accord them rights to additional review of a decision by a constituent institution not to grant a new appointment at the end of a specified fixed term.

**SECTION 611. REVIEW OF PERSONNEL ACTIONS AFFECTING
SPECIFIED EMPLOYEES EXEMPT FROM THE STATE
PERSONNEL ACT (EPA)**

(1) Review Processes. Certain non-faculty employees, as described in subsection (1)(b) below, who are exempt from the State Personnel Act, may seek review under procedures provided for by this section in the event that the employee is discontinued, terminated, or discharged from employment, suffers other adverse personnel action, or is not appointed following the end of a term appointment. Each constituent institution shall develop procedures applicable to employees of the constituent institution, and General Administration shall develop procedures applicable to those of its employees who are covered by this section. Such procedures shall, at a minimum, provide for the following:

(a) A reasonable time within which a covered employee or former employee may file a request for review, after receiving notice of a personnel action covered by this section. If a covered person does not timely file a written request for review, then the personnel action is final without recourse to any institutional review, appeal or grievance procedure.

(b) Covered persons may seek review of personnel actions based on allegations that:

(i) Notice

(A) For Senior Academic and Administration Officers defined only in UNC Policy 300.1.1 I.B., for discontinuations, expiration of term appointments, or terminations of employment with notice, such review may be sought only upon allegations of violations of applicable notice requirements set out in policies 300.1.1. III.B. 1., 2., and 3. of the University Policy Manual; and

(B) For other employees exempt from the State Personnel Act, as described only in UNC Policy 300.2.1, for discontinuations, expiration of term appointments, or terminations of employment with notice, such review may be sought only upon allegations of violations of applicable notice requirements set out in policies 300.2.1 III. A., B., and C. of the University Policy Manual; or

(ii) Equal Employment Opportunity and Protected Activity

(A) For the Senior Academic and Administrative Officers defined in sub-section (i) above, for violations of any provision of sub-sections III.D. or E. of Policy 300.1.1 of the University Policy Manual, and

(B) For the other employees exempt from the State Personnel Act defined directly above in sub-section (ii), for violations of any provision of sections V. or VI. of Policy 300.2.1 of the University Policy Manual; or

(iii) Discharge for Cause, Other Discipline, Policy Interpretation/Application

(A) For the Senior Academic and Administrative Officers defined in sub-section (i) above, for discharge for cause or other disciplinary action, or for interpretation and application of a policy provision, all pursuant to and limited by policy 300.1.1 III.C. of the University Policy Manual, and

(B) For the other employees exempt from the State Personnel Act defined above in sub-section (ii), for discharge for cause or other disciplinary action, or for interpretation and application of a policy provision, all pursuant to and limited by policy 300.2.1 IV. of the University Policy Manual; or

except that for both groups such review may be sought only if the employee alleges the discharge, discipline, or policy interpretation or application was illegal or violated a policy of the Board of Governors.

(c) If the employee or former employee timely files a written request for review, the president (as to an employee of General Administration) or chancellor (as to an employee of a constituent institution), shall ensure a process is in place so that a hearing is timely accorded before a hearing committee.

(d) In reaching decisions on which its written recommendations to the president (as to an employee of General Administration) or chancellor (as to an employee of a constituent institution), as appropriate, shall be based, the committee shall consider only the evidence presented at the hearing and such written or oral arguments as the committee, in its discretion, may allow. The employee or former employee has the burden of proof. In evaluating the evidence, the committee shall use the standard of preponderance of the evidence (which is the same as the “greater weight of the evidence.”)

(2) Appeal to the Board of Trustees or Board of Governors.

(a) For employees of a constituent institution, if the chancellor concurs in a recommendation of the committee that is favorable to the employee, the chancellor’s decision shall be final. If the chancellor either declines to accept a committee recommendation that is favorable to the employee or concurs in a committee recommendation that is unfavorable to the employee, the employee may appeal within 14 calendar days after receiving the chancellor’s written decision, by filing with the chancellor for transmission to the Board of Trustees a written notice of appeal, including a brief statement of the basis for the appeal, by certified mail, return receipt requested, or by another means that provides proof of delivery, and alleges as set out in sub-section (1)(b) above. The decision of the Board of Trustees is final with no further appeal.

(b) For employees of General Administration, if the president concurs in a recommendation of the committee that is favorable to the employee, the president’s decision shall be final. If the president either declines to accept a committee recommendation that is favorable to the employee or concurs in a committee recommendation that is unfavorable to the employee, the employee may appeal within 14 calendar days after receiving the president’s written decision, by filing with the president for transmission to the Board of Governors a written notice of appeal, including a brief statement of the basis for appeal, by certified mail, return receipt requested, or by another means that provides proof of delivery, and alleges as set out in sub-section (1)(b) above. The decision of the Board of Governors is final with no further appeal.

Policy on Non-Salary and Deferred Compensation for Faculty and EPA Non-Faculty Employees

POLICY STATEMENT

This policy sets forth specific definitions and procedures for the payment of non-salary and deferred compensation to Faculty and EPA Non-Faculty employees of the University of North Carolina at Chapel Hill. Any such compensation may only be paid in accordance with the provisions of this Policy and only after receiving the approvals specified herein.

Responsible University Officer: Vice Chancellor for Human Resources

Responsible University Office: Office of Human Resources

I. DEFINITIONS AND EXCLUSIONS

1. Non-Salary Compensation: Non-salary compensation includes, but is not limited to, payment of moving expenses, provision of a motor vehicle or motor vehicle allowance, provision of housing or housing allowance, club memberships, or any other special benefit of monetary value provided to employees for job-related reasons.

2. Deferred or Delayed Compensation: “Deferred” or “delayed” salary or compensation is defined broadly as including, but not limited to:

a. Any payment or contribution by UNC-Chapel Hill or one of its associated entities, whether paid directly to the employee, to the employee’s account or plan, or to a person acting in a capacity similar to a trustee for the employee, and which is paid later than the regular or next subsequent payment cycle.

b. Traditional 457 deferred compensation plans, retirement plans or accounts, annuities, and life insurance that accumulate cash value. This definition includes both tax-qualified and non-qualified plans, and any other similar form of payment, whether tax-sheltered or not.

3. Exclusions from the Definition of Non-Salary Compensation:

a. Non-salary compensation does not include:

- i. Base salary.
- ii. Salary supplements for additional temporary, acting, or interim responsibilities.
- iii. Lump sum payments for additional duties disbursed promptly upon completion of the work assignment.
- iv. Stipends associated with named or endowed professorships.
- v. Compensation to correct a payroll error that is promptly disbursed upon discovery.
- vi. One-time payment for awards related to recognition programs established and approved by the Chancellor, the Executive Vice Chancellor and Provost, or by the Vice Chancellor for Human Resources or his/her designee and included in the published Office of Human Resources Awards Registry.

b. Items that are required by the University for the express purpose of conducting University business are also **not** considered “non-salary compensation” and thus are **excluded** from this Policy. Examples include:

- i. Reimbursement of professional or work-related travel expenses, including mileage reimbursement for business use of a personal vehicle, and allowable per-diem meal expenditures.
- ii. Payment of required visa-related fees for work authorization of non-resident alien employees.
- iii. Provision of equipment to perform the work of the position (even if used at home) including computers, cellular phones, personal data assistants (PDA), pagers and similar work-related items.

II. AUDIENCE AND APPLICABILITY

This Policy applies to all EPA employees at UNC-Chapel Hill – except as noted below:

1. The Chancellor is exempt from this Policy. UNC Policy 300.2.14, Section C, addresses non-salary and deferred compensation for the Chancellor; UNC Policy 300.1.5 addresses the official residence provided to the Chancellor.

2. Compensation that is authorized by a faculty practice plan and/or faculty incentive pay plan, approved by the Chancellor and duly reported to the Board of Trustees and Board of Governors, are exempt from this Policy. Other forms of non-salary compensation provided to employees covered by these plans are subject to this Policy.
3. The Athletic Director and Head Coaches to whom individual employment contracts are issued and approved by the Board of Trustees and Board of Governors are exempt from this Policy, except that non-salary and/or deferred compensation that fall outside of the terms of such contracts are subject to this Policy. These employees are otherwise subject to UNC Policy 1100.3. All other Athletic Coaches are covered by this Policy, whether employed at-will or under term appointments.

III. REASON FOR POLICY

1. The Board of Governors of the University of North Carolina, through UNC Policy 300.2.14, requires each constituent institution to have a policy on non-salary and deferred compensation for employees who are exempt from the State Personnel Act ("EPA employees"). This Policy implements that mandate and establishes guidelines and procedures for non-salary and deferred compensation for EPA employees at The University of North Carolina at Chapel Hill ("UNC-Chapel Hill").
2. Within the parameters outlined below, non-salary compensation may be provided for reasons that are relevant to attracting or retaining faculty and staff of the highest possible quality.
3. Decisions concerning non-salary compensation shall be consistent with the University's Policy on Non-Discrimination and not be based in whole or in part on any EPA employee's protected status.
4. In accordance with UNC General Administration Policy 300.2.14, this Policy specifies non-salary compensation that is provided to defined categories of EPA employees at UNC-Chapel Hill.
5. Advance approval by the Board of Trustees is required for any non-salary compensation not specifically authorized in this Policy or that exceeds the specified compensation limits; approval for any deferred compensation not already permitted under UNC policies must be granted by the Board of Governors.

IV. FUNDING SOURCES AND TAX REPORTING

1. The funding source for non-salary compensation shall **not** be State-appropriated funds, unless either specifically noted in this Policy or separately approved by the Board of Trustees, and then only when permitted by guidelines issued by the Office of State Budget and Management.
2. Non-salary compensation may be funded by an associated entity of UNC-Chapel Hill only if permitted by that entity's policies and if the compensation meets all other requirements of this Policy. Such compensation remains subject to advance review and approval by the applicable University central offices per Section VII of this Policy.
3. To comply with Internal Revenue Service (IRS) regulations, certain forms of non-salary compensation may require individuals to maintain written records to document business and non-business (i.e., personal) use to ensure appropriate tax withholding and reporting by University Payroll Services. Such records shall be provided by the subject employee when requested by the University.
4. Employees receiving non-salary compensation are responsible for ensuring their individual compliance with any applicable State and Federal tax laws. Employees should consult with the relevant taxing authority or their personal tax advisor for more information regarding the applicable tax regulations.

V. TYPES OF NON-SALARY COMPENSATION

1. Household Moving Expenses

- a. Based on available resources, Department Heads have the option to include moving expenses as part of a hiring offer for relocating EPA employees. Not every offer is intended or required to include such provisions, and its inclusion should be based on business necessity to attract well-qualified candidates.
- b. In accordance with the State Budget Manual, moving expenses cannot be paid from State-appropriated funds for initial employment. Actual costs of moving standard household goods and personal effects may be paid from non-State-appropriated funds, and requires three estimates in accordance with the State Budget Manual.
- c. The Chancellor has issued a standing authorization to supervising Deans to provide moving expenses (up to a designated limit) as part of an initial

appointment offer for faculty and non-faculty employees serving within a School/College.

d. The Chancellor has issued a standing authorization to the Athletic Director for moving expenses (up to a designated limit) as part of an initial appointment offer for coaches, assistant/associate coaches, assistant/associate athletic directors, and other EPA instructional athletics staff.

e. Such delegations and authorization levels may be subsequently changed or updated outside of this Policy, as long as any such change remains in compliance with overarching UNC policy.

f. Household moving expenses for all other EPA employees or in amounts exceeding designated limits must be authorized in advance on a case-by-case basis by the Chancellor, Executive Vice Chancellor and Provost, or supervising Vice Chancellor.

2. House-Hunting

a. Based on available resources, Department Heads have the option to include house-hunting expenses as part of a hiring offer for relocating EPA employees. Not every offer is intended or required to include such provisions, and its inclusion should be based on business necessity to attract well-qualified candidates.

b. The inclusion of house-hunting expenses in a hiring offer must have the approval of the supervising Vice Chancellor, Dean or Athletic Director.

c. The State Budget Manual provides guidance for employee travel and subsistence for the purpose of house hunting with family. This Policy allows for up to three such two-day trips. Such house-hunting expenses related to initial employment cannot be paid from State-appropriated funds.

3. Temporary Housing as Part of Initial Hiring

a. Based on available resources, Department Heads have the option to include temporary housing assistance as part of a hiring offer for relocating

EPA employees. Not every offer is intended or required to include such provisions, and its inclusion should be based on business necessity to attract well-qualified candidates.

b. Positions categorized as faculty, senior academic and administrative officers, coaches, assistant/associate coaches, assistant/associate athletic directors, and other EPA instructional athletics personnel may be reimbursed for receipted temporary housing costs as part of the initial hire. This reimbursement cannot exceed \$2,500 per calendar month for up to six months, at the discretion of the supervising Vice Chancellor, Dean or Athletic Director.

c. All other categories of EPA employees may be authorized within these same limits on a case-by-case basis by the Chancellor, the Executive Vice Chancellor and Provost, or supervising Vice Chancellor.

d. An EPA employee who does not utilize the entire authorized housing allowance may be permitted (but is not required) by the supervising senior officer to utilize any remaining amount to extend the arrangement for a period not to exceed three additional months beyond their allotted duration. The total of all such expenditures, including any extension, may not exceed the total allowance authorized as part of the hiring offer, nor may any individual monthly reimbursement exceed \$2,500.

e. The Chancellor shall have the authority to authorize a housing allowance in an amount up to \$3,000 per calendar month and/or a total duration of up to one year under special circumstances, to attract unique or hard-to-recruit talent to the University.

f. Temporary housing costs that exceed the authorized amount or duration must be submitted on a case-by-case basis for advance review and approval by the Board of Trustees.

4. Temporary Housing and Incidental Expenses as Part of a Remote Duty Assignment

a. Any EPA employee covered by this Policy may be reimbursed for receipted expenses, including temporary housing and other incidental living costs

necessary to facilitate a temporary out-of-state or foreign-duty work assignment (e.g., study abroad assignments, remote research stations, etc.), not to exceed \$2,500 per calendar month for a period not to exceed one year, with the approval of the Chancellor, the Executive Vice Chancellor and Provost, or the supervising Vice Chancellor or Dean.

b. The Chancellor shall have the authority to authorize temporary housing and other incidental living costs per item 4.a above in an amount not to exceed \$3,000 per calendar month and/or a total duration of up to 18 months, when deemed necessary to conduct legitimate University business that is out-of-state or related to a foreign-duty work assignment.

c. Any reimbursements that exceed these limits or duration must be authorized in advance on a case-by-case basis by the Board of Trustees.

d. The payment of any extraordinary dependent educational expenses must be authorized in advance on a case-by-case basis by the Board of Trustees.

5. Ongoing Housing Required by Job Assignment

Lodging or housing provided to an employee as a required condition of employment (e.g., a facility caretaker) or housing provided to resident staff employed by the Division of Student Affairs to work in University residence halls may be permitted with the approval of the Chancellor, the Executive Vice Chancellor and Provost, or the supervising Vice Chancellor or Dean.

6. Vehicle Allowances

a. The Chancellor is authorized (but not required) to provide the use of one leased vehicle, courtesy vehicle, or comparable vehicle allowance to the Executive Vice Chancellor and Provost, any of the Vice Chancellors, and the Director of State Relations for the primary purpose of conducting University business. The annual taxable income value for any non-business use of said vehicle and related operating expenses may not exceed \$7,500.

b. The Athletic Director is authorized (but not required) to provide the use of one leased vehicle, courtesy vehicle, or comparable vehicle allowance to the Assistant/Associate Athletic Directors, Head Coaches, Assistant/Associate

Coaches, and Head Trainers for the primary purpose of conducting University business. The annual taxable income value for any non-business use of said vehicle and related operating expenses may not exceed \$7,500.

c. Vehicle allowances for all categories of EPA employees except those listed above, or which exceed any of the specified limits above, must be submitted on a case-by-case basis for advance review and approval by the Board of Trustees.

7. University-Affiliated Club Memberships

a. Positions categorized as Senior Academic and Administrative Officers (SAAO) Tier I, the University's Deputy Chief Advancement Officer, and the Chief Advancement Officer of each School/College may be provided with individual memberships at any on-campus University-affiliated club for job-related purposes. The Chancellor must approve all such memberships, with the exception of the Chief Advancement Officers of a School/College, which must be approved by the supervising Dean.

b. University departments may hold a "departmental" membership, in the name of the Department Head, for departmental business use only at the University's institution-affiliated clubs, if such memberships are allowed by club policy. Such departmental memberships must be approved in advance by the Chancellor and/or the applicable Vice Chancellor who oversees the department in question.

c. All personal use of departmental memberships is prohibited. In no case may the funding source for either individual or departmental memberships be State-appropriated funds.

8. External Club Memberships

a. The Executive Vice Chancellor and Provost and the Vice Chancellor for Advancement may be provided with one external club membership for job-related purposes.

b. Any such club must have a policy prohibiting discrimination against groups protected by federal and North Carolina law.

c. Any University-paid external club memberships provided to other EPA employees or additional University-paid external club memberships provided to the two senior officers noted above must be submitted on a case-by-case basis for advance review and approval by the Board of Trustees.

9. Athletic Facility Memberships

a. The following EPA employees may (but are not required) to be provided paid membership or access to University athletic and physical fitness facilities (as appropriate) for job-related purposes by the supervising Vice Chancellor, Dean or Athletics Director:

i. Individuals who hold academic rank and a primary faculty appointment in the Department of Exercise and Sport Science, and whose primary role is to provide physical education instruction to students.

ii. EPA professionals in the Departments of Exercise and Sport Science, Campus Recreation, and Athletics, whose primary responsibilities involve providing direct physical training to students/athletes and/or ensuring the safety and maintenance of fitness and physical education equipment.

iii. In no case may the funding source be State-appropriated funds.

b. All other University-paid memberships in health clubs/fitness facilities for all other categories of EPA employees must be submitted on a case-by-case basis for advance review and approval by the Board of Trustees.

10. Campus Athletic and Cultural Events

a. Positions categorized as Senior Academic and Administrative Officers (SAAO) Tier I as well as other EPA professionals whose primary responsibilities include solicitation of donors may be provided with complimentary admission to University-related athletic or cultural events for job-related purposes, including complimentary admission for an accompanying guest, such as a spouse/partner, if the guest is expected to assist in University-related hosting activities.

b. Complimentary athletics event tickets may be provided for coaches and athletics administrators in accordance with a standardized, position-based

schedule that is maintained by the Athletic Director and approved by the Chancellor.

c. Ongoing or routine athletics or cultural event complimentary admission provided to any individual or similarly situated group of EPA employees for discretionary (non-business-related) use must be submitted on a case-by-case basis for advance review and approval by the Board of Trustees and must be reported for tax purposes.

i. An exception is permitted for excess single-use tickets to campus events that could not otherwise be sold (and as a result are deemed to have no market value) and will be distributed as occasional employee recognition/appreciation awards by the Chancellor, Executive Vice Chancellor and Provost, or the supervising Vice Chancellor or Dean.

11. Incentive-Based Compensation for Certain Athletics Employees

Incentive-based compensation beyond base salary provided to any EPA employee in the Department of Athletics (other than specific compensation for the Athletic Director and Head Coaches with individual contracts covered by UNC Policy 1100.3), for reasons including, but not limited to, reaching performance goals such as post-season playoffs or student-athlete academic achievement levels, must be approved by the Board of Trustees. Such approvals may be on a case-by-case basis or by a standard schedule proposed to the Board of Trustees by the Athletic Director with the Chancellor's concurrence.

12. Incentive-Based Compensation for Other Employees

Any form of incentive-based compensation beyond base salary to be paid to any EPA employee in recognition of performance or productivity, except as provided for in this Policy, must be expressly authorized by the Chancellor and the Board of Trustees and conform with any relevant policies and guidelines of the Board of Governors then in effect.

13. Educational Assistance, Dependent Care, and Related Benefits

Any employer-provided benefits in excess of current IRS limits for qualified educational assistance, dependent care, or similar benefit programs must be submitted on a case-by-case basis for advance review and approval by the Board of Trustees, and must be reported to Payroll as taxable compensation on a case-by-case basis.

VI. DEFERRED COMPENSATION

1. The State of North Carolina and UNC-Chapel Hill offer employees certain deferred compensation benefits, including voluntary (employee-paid) 457, 403(b), and 401(k) options. Employer contributions to these plans by UNC-Chapel Hill or its affiliated entities are not permitted under UNC policy for employees covered by this Policy.
2. This Policy does not prohibit regular employer contributions to the State of North Carolina Teachers and State Employee's Retirement System (TSERS) or the University of North Carolina Optional Retirement Program (ORP) as provided by State law or UNC policy.
3. Unless expressly approved by the Board of Governors, UNC-Chapel Hill or its associated entities may not provide any other employer-paid, entity-paid, or privately-paid options for deferred compensation to any employee covered by this Policy.



VII. ROLES AND RESPONSIBILITIES

1. All non-salary compensation for EPA employees shall be requested by the supervising Department Head using forms published for this purpose jointly by the Executive Vice Chancellor and Provost and the Vice Chancellor for Human Resources.
2. Any allowable non-salary compensation shall not be implemented or paid without final approval having been communicated by the Office of the Executive Vice Chancellor and Provost (for Faculty) or the Office of Human Resources (for EPA Non-Faculty) unless otherwise explicitly set forth in this Policy.
3. Any requests for non-salary compensation that require advance approval by the Board of Trustees or the Board of Governors under this Policy shall be transmitted to the applicable Board(s) with the Chancellor's concurrence.

VIII. RELATED REGULATIONS, STATUTES, AND RELATED POLICIES

[UNC General Administration Policy 300.2.14, Non-Salary and Deferred Compensation.](#)

IX. CONTACTS

Subject	Contact	Phone	Email
Faculty non-salary and deferred compensation matters	Academic Personnel Office, Office of the Executive Vice Chancellor and Provost	919-962-1091  919-962-1091	See Academic Personnel Office web site for specific e-mail contacts
EPA Non-Faculty non-salary and deferred compensation matters	EPA Non-Faculty Human Resources unit, Office of Human Resources	919-962-1456  919-962-1456	See OHR staff directory for specific e-mail contacts

X. DOCUMENT HISTORY

- Approved By UNC-Chapel Hill Board of Trustees: May 23, 2013
- Last Revised Date: May 13, 2013
- Effective Date: June 1, 2013

RELATED DOCUMENTS

[Request for Approval of Non-Salary Compensation](#)

[Memo from Chancellor Holden Thorp: Standing Authorization for Household Moving Expense Reimbursements](#)

12. Promotion and Tenure Review

Please prepare and upload a PDF document (or PDF documents if there are more than one) with a copy of your campus schedule and process for periodic review of promotion and tenure policies. The process should outline who is responsible for review, what is the time line of review process, and what are the mechanisms in place to make sure the review is completed. (600.3.4 B.2)

- Please name the uploaded file in the following manner: XXXX_promotion.pdf where XXXX=your campus abbreviation. If more than one file is uploaded, please name the files as mentioned previously and number them (XXXX_promotion_1.pdf).

UNC-CH_promotion.pdf
108.6KB
application/pdf

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

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

Report of the UNC Task Force on Future Promotion and Tenure Policies and Practices

Introduction

The conferral of tenure at the University of North Carolina carries significant privileges as well as responsibilities on the part of both the university and the faculty member. For the faculty member, tenure grants the right to engage in free inquiry in both teaching and research without fear of reprisal. Tenure also provides job security. Tenured faculty provide the university a vigorous exchange of ideas in both scholarship and the classroom, and a stable, high quality professional staff loyal to the institution.

Given the value of tenure in the university community, it is important to ensure that the criteria used to confer tenure are up-to-date, clear and applied fairly. This report proceeds from the assumption that periodic reviews of tenure policies and practices are valuable for all involved. Three current trends in the mission and role of the public university have prompted the review and recommendations offered here: (1) calls for increased engagement with the public, (2) new forms of scholarly work, and (3) increased scholarly activity across disciplinary lines.

With these trends in mind, UNC-CH Provost Bernadette Gray-Little requested that a faculty Task Force investigate and make recommendations by May 2009. The Provost also asked the Task Force to consider the possibility of extending the probationary period before the tenure decision, and enhanced mentoring of faculty, as two mechanisms that might improve tenure and promotion processes and decisions in the future.

Process

A steering committee of ten faculty, chaired by Professor Jane D. Brown, was convened in November 2008. Two members of the steering committee were named as co-convenors for each of five subcommittees comprised of 38 faculty from across campus who were selected based on interest and expertise (see committee rosters in Appendix A). Each of the subcommittees met three or four times in Spring 2009, with oversight by the steering committee. Each subcommittee, with the assistance of William Nolan, a recent UNC-CH graduate, examined existing evidence as well as protocols at peer institutions. The subcommittees also looked at the practices and protocols of academic units at UNC-CH that have addressed similar issues, and consulted with experts on campus. Drafts of the report and recommendations were discussed with the Executive Committee of the Faculty Council (4-13-09), the Faculty Council (4-24-09), a group of junior faculty (4/21/09), and the Appointments, Promotion and Tenure committee (4-22-09). Their comments and suggestions were incorporated in the final report.

Overall, the Task Force recommends that:

1. *Faculty engagement* with the public outside the traditional scholarly community should be valued and evaluated during the tenure and promotion process. Faculty “engagement” refers to scholarly, creative or pedagogical activities for the public good, directed toward persons and groups outside UNC-CH.
2. *New forms of scholarly work and communication* made possible primarily by digital technology should be included in evaluations of scholarship.
3. *Work across disciplinary lines* should be supported. Expectations of all involved parties should be articulated at the outset, and referred to as tenure and promotion decisions are made.
4. The *expectations and procedures* of the tenure and promotion process should be as clear as possible, and tenure and promotion policies and procedures reviewed and revised at the unit level now and in the future whenever the unit is externally reviewed (at least every 10 years). Better data and further consideration is necessary before a recommendation can be made about extending the probationary period for tenure.
5. *Mentoring* of faculty should be seen as an important responsibility of chairs and senior faculty.

More specific recommendations are listed here. The rationale for each of the recommendations is provided in the body of the report.

1. Define, value, and evaluate faculty engagement with the public

- a. The University’s personnel reviews, at departmental, school and university levels, should include consideration of the faculty member’s interactions and engagement with communities outside the traditional scholarly community.
- b. A survey should be conducted of faculty to determine the nature and extent of ongoing engaged scholarship and engaged activities at the University of North Carolina-Chapel Hill.
- c. In the Provost’s document, “Dossier: Format for Tenure Track or Tenured Faculty Review,” the section that provides guidelines for the formatting of the *chair’s letter* should be revised to reflect the importance of faculty engagement to the University’s mission, and the guidelines for the formatting of *faculty CVs* should designate a section of the CV for listing engaged faculty work that does not fit in already established categories.

- d. In the Provost's document, "Dossier: Format for Tenure Track or Tenured Faculty Review," the section that provides guidelines for the formatting of the *chair's letter* and the *faculty CV's* should be revised to clarify the importance and different types of work that count as *service*.

2. Recognize new forms of scholarly work and communication

- a. All academic units that grant tenure and promotion should revise their personnel documents to include guidelines for the evaluation of new forms of scholarly communication.
- b. Evaluations from scholarly peers are certainly appropriate, but units should also consider feedback from users, students, and other audiences for the new forms of scholarly work.
- c. In the Provost's document, "Dossier: Format for Tenure Track or Tenured Faculty Review," the section that provides guidelines for the formatting of *faculty CVs* should designate a section of the CV for listing scholarly work that does not fit in already established categories; the section that provides guidelines for the formatting of the *chair's letter* should be revised to instruct the chair to address what measures have been taken to assess the faculty member's scholarly communications that fall outside of traditional, peer-reviewed publications.

3. Value interdisciplinary work

- a. All academic units that grant tenure and promotion should revise their personnel documents to ensure that they explicitly address questions of interdisciplinary research and teaching.
- b. In the Provost's document, "Dossier: Format for Tenure Track or Tenured Faculty Review," the section that provides guidelines for the formatting of the *chair's letter* should be revised to instruct the chair to address the faculty member's interdisciplinary work as a contribution to one of the core values of the University's mission.
- c. Academic units involved in joint appointments should be *required* by the Provost to develop a MOU (Memorandum of Understanding) that is provided to the faculty member and filed with the Provost.
- d. Grounds for dissolving a faculty member's joint appointment in a particular unit should be articulated, and procedures to initiate the dissolution should be established by the Provost's office.
- e. The Provost's office should specify procedures for situations in which one unit denies tenure and/or promotion and the second unit approves.

- f. All joint appointments should be for fixed periods, ideally between appointment steps.
- g. New external letters should no longer be *required* for sequential joint appointments.

(See the body of the report for other specific recommendations to facilitate interdisciplinary work and joint appointments.)

4. Establish clear and realistic expectations for tenure and promotion

- a. All academic units that grant tenure and promotion should be directed to make periodic reviews of their hiring, promotion and tenure policies to ensure clear and reasonable expectations. The Executive Associate Provost should have responsibility for making sure tenure and promotion policies are up to date and accessible at the unit level.
- b. Data relating to tenure-track positions should be collected on a university-wide basis. These data should be collected to learn departmental and school approval rates for tenure and promotion as well as the manners in which tenure clocks begin, end and are extended or paused.
- c. When relevant data are available, further consideration should be given to extending the probationary period for tenure.

5. Ensure good mentoring of faculty

- a. All academic units that grant tenure and promotion should have a mentorship plan in place that is filed with the Provost's office. The plan should ensure that each junior faculty member has at least one senior faculty mentor.
- b. Mentorship training for promotion and tenure should be provided to all department chairs and school deans.
- c. Senior faculty should be provided regular university-wide workshops on mentoring.
- d. Mentorship should be part of the post-tenure review evaluation. In the Provost's document, "Dossier: Format for Tenure Track or Tenured Faculty Review," the section that provides guidelines for the formatting of the *chair's letter* should be revised to instruct the chair to address the faculty member's mentorship as part of his or her service to the academic unit or larger university community.
- e. Mentoring awards should be instituted by the University, College, schools and departments.

- f. A regular survey of junior faculty (perhaps in their fourth or fifth years) should be conducted to determine the state of mentorship on campus as well as the mentorship needs and expectations of junior faculty.

Note: Two important issues arose in our discussions but were beyond our purview: (1) the terminology of the categories of faculty employment (such as “professors of the practice” and “adjunct faculty”) and, (2) career trajectories of fixed-term faculty in the University.

We strongly recommend a more thorough examination of, and an attempt to regularize terminology practices across the university. We were also pleased to learn of the work of a Task Force in the College of Arts and Sciences that is focused on the issue of non-tenure track faculty. As the balance of tenured /tenure-track faculty to fixed-term faculty shifts, the university ought to develop career paths and clear expectations for rewarding these important members of our faculty.

1. Define, Value and Evaluate Faculty Engagement with the Public

Recommendation: The University's personnel reviews should include consideration of the faculty member's interactions and engagements with communities outside the traditional scholarly community.

Engagement is a core component of the University's mission. Such engagement has become important for the professional work of faculty in most units of the University, and exemplifies part of our commitment to the principles of the UNC Tomorrow initiative. Faculty engagement is also consistent with a national trend at peer institutions in higher education.

The meaning of faculty engagement

Faculty "engagement" refers to scholarly, creative or pedagogical activities for the public good, directed toward persons and groups outside the University of North Carolina at Chapel Hill. Such activities (in the form of research, teaching, and/or service) develop as collaborative interactions that respond to short and long-term societal needs. Engagement serves people in our state, nation, or the wider world through a continuum of academically informed activities. Although the spectrum of engaged scholarship and activities varies among disciplines, "engagement" is planned and carried out by University and community partners, and includes:

- *Engaged scholarship:* Scholarly efforts to expand multifaceted intellectual endeavor with a commitment to public practices and public consequences.
- *Engaged activities:* Artistic, critical, scientific and humanistic work that influences, enriches and improves the lives of people in the community.

Guidelines for evaluating faculty engagement in tenure and promotion reviews

Engagement will inevitably take different forms in the various schools, divisions and departments of the University. As a research-intensive university, UNC-CH will continue to require original scholarly research as a key criterion for tenure and promotion in rank. Faculty engagement can take the form of "engaged scholarship" and other "engaged activities."

- To satisfy the criterion for scholarly research, "engaged scholarship" must meet a rigorous standard such as external funding, peer reviewed publications and evaluations. As is the current practice for other kinds of scholarship, each school, department, and discipline should determine the criteria for evaluating the excellence of engaged scholarship.
- To define the criterion for "engaged activities," each school, department, and discipline should develop its own descriptions and examples of academically informed activities that constitute faculty engagement (For example, but not limited to: the Apples courses, outreach to public schools

and adult audiences re: North Carolina history, health and other academically-informed topics).

In establishing these criteria each unit should refer to the “The meaning of faculty engagement” paragraph above. The Center for Public Service is also available to work with schools and departments in developing guidelines and criteria for engagement. See: <http://www.unc.edu/pse/our-office-cps.php>; <http://www.unc.edu/cps/learn-more-about-engagement.php>.

Engagement should be recognized as a significant component of a faculty member’s professional achievements. Engagement may play a more prominent role at different phases of a faculty member’s career, and it should be supported at any phase if it is consistent with a unit’s practices and priorities. However, faculty whose work does not include engaged activities should not be penalized or denied tenure or promotion on those grounds unless such activities are part of the clearly articulated core mission of the hiring unit.

Guidelines for reporting faculty engagement

- Engagement may be embedded in one or more aspects of a faculty member’s work-- research, teaching, and service. Faculty should be asked to describe their “engaged scholarship” and “engaged activities” in their promotion/tenure statements about research, teaching, and service.
- “Engaged scholarship” and “engaged activities” should be included as categories within the dossiers faculty prepare for personnel reviews, similar to traditional categories such as “scholarly publications,” “course syllabi,” and “teaching evaluations.” Descriptions of engaged activities must be demonstrated with specific examples and should be evaluated with the usual attention to significance and influence in a professional field.
- In addition to the categories of Research, Teaching and Service, the Provost’s document, “Dossier: Format for Tenure Track or Tenured Faculty Review” should provide the department chair with the opportunity to assess the faculty member’s engagement as a fourth category of their academic work; the section that provides guidelines for the formatting of *faculty CVs* should designate a section of the CV for listing engaged faculty work that does not fit in already established categories.

Recommendation: The “service category” in the Provost’s current guidelines for tenure and promotion should be revised. This kind of service typically differs from “engaged activities” with communities outside the academic world, although there can be some overlap. Categories that might be included:

- Service on departmental, school and university committees;
- Service in professional scholarly organizations;
- Service for scholarly journals and presses;
- Service for international/national scholarly associations;
- Service provided in clinical or consultative settings

Recommendation: A survey should be conducted of faculty to determine the nature and extent of ongoing engaged scholarship and engaged activities at the University of North Carolina Chapel Hill.

2. Recognize New Forms of Scholarly Publication and Communication

The forms in which scholars do and disseminate their work will continue to multiply. It would be fruitless to try to list all the forms currently available and even more pointless to try to predict ones that will become available in the future. But the plurality of forms is already a fact.

Our overriding recommendation is that the university, in all its academic units, should demonstrate an openness to new forms of scholarly communication and to a diversity of activities and styles. Each unit should amend tenure and promotion procedures to make such openness a fact in faculty evaluation. The tenure and promotion process should encourage innovative and ambitious work, and academic units should develop appropriate evaluation procedures for such work.

Recommendations:

- A place on the standard format for *faculty CVs* should be clearly designated for listing scholarly work that does not fit in already established categories. The Provost’s document “Dossier: Format for Tenure Track or Tenured Faculty Review,” should be revised accordingly.
- *Chair’s letters* for Tenure and Promotion decisions should indicate what measures have been taken to assess the faculty member’s scholarly communications that do not fit in already established categories. The Provost’s document “Dossier: Format for Tenure Track or Tenured Faculty Review,” should be revised accordingly.

Academic units should recognize that evaluation of new forms of scholarship often will come after publication. Such work can come in the form of databases, blogs, web sites, and other forms that do not resemble traditional journal articles or monographs. Digitally published work is not always peer-reviewed prior to publication and dissemination. Academic units should also recognize that faculty often must devote considerable amounts of time to mastering new technologies and methods.

The importance of identifying and gathering responses from appropriate reviewers is increased when new forms of scholarly communication are included in the dossier. The faculty member him- or herself must accept some of the burden of (a) deciding which work s/he wants evaluated in a tenure or promotion case (most likely in consultation with the chair), and (b) providing a clear account in the research statement of the goals and significance of such work in terms of audience and contribution to the faculty member's overall career.

Recommendation: Evaluations from scholarly peers are certainly appropriate, but departments and units should also consider feedback from users, students, and other audiences for the work in question.

In developing tenure and promotion procedures for evaluating new forms of scholarly communication, departments and units may find it useful to pay heed to some of the following non-traditional features of some digital work:

- the frequency and depth of collaboration, even in fields where collaboration has not been the norm;
- a process-orientation that may, in the most extreme cases, never provide a final product since results are open to constant revision—and often revision by multiple users;
- expansion beyond the standard audience of one's academic peers, with the accompanying different strategies for presentation that entails;
- using multiple forms (audio, video, blogs) to supplement or disseminate work that has been, traditionally, written; and
- the creation of enabling software or databases that requires skill and time but which is more oriented to facilitating the work of others than in producing finished conclusions of one's own.

In sum, digitally disseminated work is often collaborative and, even in some cases, does not result in a stable, unchanging, product. Who gets to designate what counts as a “finished” product? How are such products to be archived? Are only works that aspire to some kind of permanence to be counted? Crucial issues of accessibility also arise here. How public must work be to count as scholarship? Answers to such questions have to be developed as departments and units create metrics by which to evaluate this work.

The UNC-CH Health Sciences Library maintains a web site promoting open access: <http://www.hsl.unc.edu/Collections/ScholCom/index.cfm>, and the UNC Libraries maintains web access to services and information from the University Committee on

Copyright <http://www.lib.unc.edu/copyright/>. Further, the libraries are creating the infrastructure to support an institutional repository for all kinds of scholarly work, thereby ensuring that such work will be preserved and will be made widely accessible by scholars everywhere. UNC-CH librarians also can advise faculty and P & T committees about tools that can help assess the impact of new forms of scholarship and online media, beyond those typically used.

For some examples of how other institutions are evaluating digital scholarship see the following sites from the University of Virginia and Mount Holyoke:

- http://artsandsciences.virginia.edu/dean/facultyemployment/evaluating_digital_scholarship.html
- <http://www.mtholyoke.edu/committees/facappoint/guidelines.shtml>

Collaborative work is already the rule in the natural and health sciences, and is expected to become more prevalent in the humanities and social sciences. In evaluating collaborative work, it is crucial that the faculty member be asked for a transparent account of his or her contribution to specific projects. It is also reasonable for the department or unit to solicit from the faculty member's collaborating colleagues similar information. Since types of collaboration vary widely, tenure and promotion procedures need to explicitly outline the responsibility on both sides—the faculty member's and the department's—for providing and/or gathering all information that will assure that the faculty member's work is understood and recognized.

Conclusion

The key is flexibility. New forms of scholarly communication will continue to emerge and those new forms will in some cases change the goals, methods, and effects of scholarship. We need tenure and promotion guidelines that encourage, rather than discourage, innovation and experimentation. We also must be flexible about how such encouragement, accompanied by fair and effective evaluation, is reflected in the tenure and promotion procedures of different academic units. But the mandate to all units to be open to new scholarly forms should be loud and clear.

3. Value Interdisciplinary Work

The pursuit of interdisciplinary scholarship is an issue of intellectual freedom. Policies, procedures, or academic cultures that discourage or interfere with the pursuit of interdisciplinary scholarship are inconsistent with the University's mission. Not only does interdisciplinary work provide opportunities for creating knowledge in new and unanticipated ways, University support for new work that crosses boundaries and brings together perspectives from new and traditional disciplines can be a factor in the recruitment and retention of the very best scholars and teachers. Interdisciplinary work often represents cutting-edge scholarship and teaching, but in UNC's department-oriented promotion and tenure process, questions often arise about how to evaluate interdisciplinary work.

We considered a variety of topics relating to opportunities and barriers to interdisciplinary work and compiled best practices for ensuring fair evaluation of that work in the tenure and promotion process. Although the issues are relevant to promotion from Associate Professor to Professor, we focused on promotion to Associate Professor with tenure, because Assistant Professors are most vulnerable to factors that can influence their ability to pursue interdisciplinary scholarship freely. We also recognized that some faculty members are hired explicitly to engage in interdisciplinary work, which is typically manifested by joint appointments between academic units or by hiring within an inherently interdisciplinary unit. In other cases, a faculty member's work can evolve to become more interdisciplinary over time.

Procedures and policies cannot by themselves create a welcoming environment for interdisciplinary scholars in traditional disciplinary departments. But much more can be done to provide structures to regularize expectations for faculty members whose work touches more than one department, or whose work presents a profile that is unusual in the department in which he/she finds a tenure home. The Office of the Provost can make it clear how departments and schools should report on the evaluation of interdisciplinary work as a part of the tenure and promotion process.

We have identified several points at which interdisciplinary work might be better recognized and make recommendations to improve policies and procedures to at least accommodate, if not promote, interdisciplinary scholarship at the University.

A. Departmental personnel documents

An academic unit's personnel documents typically state the unit's expectations for faculty excellence at different ranks, and they serve as a guideline for newly hired faculty looking ahead to tenure and promotion.

Recommendations:

- Each academic unit should review its personnel documents to ensure that they explicitly address questions of interdisciplinary research and teaching. Questions such as how review committees should be constituted in the case of jointly appointed faculty and in the case of interdisciplinary faculty whose work might involve publication and evaluation in venues different from those typically seen in that unit should be answered.
- For fields in which scholarly publications with multiple authors are atypical, the personnel documents should also address how multi-authored works are to be evaluated. For academic units in which scholarly publications are in different formats (e.g., some faculty members publish books and others journal articles), personnel documents should also address how these different formats will be evaluated. The continued emergence of new forms of scholarly communication as discussed above compounds the need for academic units to consider how interdisciplinary work will be evaluated.

B. Joint appointments

Joint appointments are common at the University and are a primary mechanism of promoting interdisciplinary scholarship. There are benefits to both the academic unit(s) making a joint appointment and the faculty member. Benefits to an academic unit include:

- funding, if specifically provided for joint hiring;
- addition of a new perspective to the unit's culture;
- and the ability to advertise that the faculty member is part of the unit

Benefits of joint appointments to the faculty member include:

- exposure to potential collaborators in multiple units;
- access to graduate students in multiple units;
- enhanced professional stature;
- and improved research funding opportunities.

Joint appointments can be made between several types of units, which has implications for the conduct of promotion and tenure decisions:

- between two academic departments; promotion and tenure decisions require votes in the two departments;
- between an academic department and a Curriculum, Institute or Center that does not have faculty lines; promotion and tenure decisions require a vote only in the home department;
- and between an academic department and a Curriculum, Institute or Center that *does* have faculty lines; promotion and tenure decisions require votes in two units.

There are two types of joint appointments: those that are made at the hiring stage, typically in response to the availability of special funding for that purpose (a “mutual-hiring” joint appointment), and those made at the request of a faculty member already holding an academic appointment (a “sequential” joint appointment). Mutual-hiring joint appointments typically involve a memorandum of understanding (MOU) between the appointing units. The MOU typically spells out the expectations for teaching and service, the salary split between departments, and the method for constituting review committees at the time of consideration for tenure and for promotion. Sequential joint appointments require completion of a “Recommendation of Joint Appointment” form that accompanies other paperwork provided to the Office of the Provost; this form requests minimal (albeit important) information and is signed by the heads of each appointing unit.

Situations have arisen in which joint appointments are no longer tenable for one of the originally appointing units, the faculty member, or both. One example is the denial of tenure in one unit and approval in another. Denial of tenure in one unit may be particularly egregious when the joint unit would have approved of tenure but does not hold faculty lines. Another example is when a jointly appointed faculty member becomes uninvolved in the joint unit. If the faculty member had teaching responsibilities in that unit, its teaching needs might go unmet; this is a particular problem for Curricula that do not hold faculty lines.

Finally, current University policy requires that, for sequential joint appointments, new external letters be obtained by the jointly appointing unit. This requirement places an undue administrative burden on the jointly appointing unit if it is satisfied with the letters that had been obtained in the most recent evaluation by the primary unit; it also can place a burden on the external reviewers, some of whom might be asked to re-write letters they had written only recently.

Recommendations:

- Grounds for dissolving a faculty member's joint appointment in a particular unit should be articulated (e.g., because that faculty member no longer contributes to the unit). Procedures to initiate the dissolution should also be established. We recommend that these grounds and procedures be articulated at the level of the Provost.
- Specific procedures should be established for situations in which one unit denies tenure and/or promotion and the second unit approves (or would approve if it could). For example, if the joint appointment is between units that both hold faculty lines, the joint appointment could be dissolved, leaving the candidate with promotion and tenure in the unit that made the affirmative decision. We recommend that general guidelines for these procedures be established at the level of the Provost.
- Academic units involved in joint appointments, whether a mutual-hiring appointment or a sequential joint appointment, should be *required* to develop an MOU. The currently required form for sequential joint appointments is a poor substitute for a well-conceived MOU. If adopted, this requirement would be implemented by placing appropriate language in the University's EPA Personnel Guidelines. It would be most helpful for the guidelines to provide a template for MOUs, but at a minimum the guidelines should identify the issues that should be included as a minimum in every MOU:
 - expectations for teaching in each unit and how teaching needs will be met if the jointly appointed faculty member is no longer able or willing to teach in one of the units.
 - expectations for service in each unit
 - the salary split between units
 - procedures for making recommendations in salary adjustments
 - provision of space
 - provision of administrative support
 - administration of grants and contracts
 - split of F&A funds and patent/royalty income
 - description of the process that will be followed in the promotion and tenure proceedings; if one unit is the primary tenure home, the role of the joint unit in the evaluation process should be specified.
 - description of procedure to be followed if the joint appointment is dissolved at the end of its term, either by denial of tenure in one unit, at the request of the head of one unit (e.g., because of lack of participation of the faculty member), or at the request of the faculty member

- A copy of the MOU should be provided to the faculty member.
- All joint appointments should be for fixed periods, ideally between appointment steps (i.e., first and second probationary terms, promotion to Associate Professor, promotion to Professor, and at five-year intervals corresponding to post-tenure reviews). This provides an opportunity to exit a joint appointment that is no longer tenable.
- New external letters should no longer be *required* for sequential joint appointments. Such letters can be sought by the jointly appointing unit as desired for its own evaluation.

C. Interdisciplinary faculty in a single academic unit

Faculty are at times hired into an academic unit in response to an advertisement for a position intended to be interdisciplinary, and in other cases a faculty member might be interested in exploring interdisciplinary activities after being hired. An interdisciplinary faculty member in a tenure-track position in a unit that does not have a history of interdisciplinary scholarship can be vulnerable to either overt or subliminal messages that discourage such scholarship. In the worst cases, tenure could be denied because the department's faculty who vote on tenure do not value the interdisciplinary work or do not know how to evaluate it. In fields that would require a considerable investment of a faculty member's time to explore interdisciplinary opportunities, the relatively short tenure clock itself could be a significant barrier to pursuing such opportunities.

Recommendations:

- If a faculty member is hired in response to an advertised position that is intended to be interdisciplinary, a copy of the position advertisement should become part of that faculty member's permanent file and should accompany all documents that are part of the promotion and tenure evaluation process.
- An MOU should be developed between the unit and the interdisciplinary faculty member. The MOU should specify the process that will be followed in promotion and tenure evaluations, including details relevant to the particular appointment that would not otherwise be addressed in the unit's personnel documents.
- Consideration should be given to creating an opportunity for an untenured faculty member to request a one-year leave to explore an interdisciplinary opportunity. If granted, the leave period should not count towards the tenure clock.

D. Mentoring and yearly evaluation

In addition to the concerns that face every faculty member with respect to mentoring (including clear expectations in the personnel document and clear communication from chairs in the yearly evaluation meetings), interdisciplinary scholars in particular would benefit from regular and sustained attention to the ways their interdisciplinary work is understood in their home departments.

Recommendations:

- For a faculty member hired into an interdisciplinary position, the MOU that formed the basis for the initial agreement should be reviewed in annual evaluations conducted by the unit head with the faculty member. An opportunity should be provided to update or revise the MOU by mutual agreement.
- The nature of an interdisciplinary faculty member's scholarly work should be considered during faculty meetings in which the progress of junior faculty members is discussed.

E. The promotion and tenure process

The promotion and tenure evaluation process itself can work against an interdisciplinary faculty member in the absence of explicit policies to take account of the interdisciplinary scholarship. For this reason, tenure and promotion committees for interdisciplinary faculty should contain members who collectively are able to judge all aspects of the faculty member's work. Sometimes this might involve appointment of members from outside the department and/or coordination with a review committee in the joint or adjunct department (the MOU should spell this out). To be fair to the interdisciplinary faculty member, an effort should be made to secure outside evaluators from the major disciplines on which the faculty member's work touches, and procedures should take into account both the interdisciplinary interests the faculty member had when hired and those that might have developed during the course of his/her career at UNC.

Current requests to external reviewers often ask the reviewer to determine if the candidate would be likely to receive an equivalent promotion and/or tenure at his or her institution. This question is inherently unfair to an interdisciplinary faculty member being reviewed by an external reviewer in a traditional disciplinary department that does not itself value interdisciplinary work or which is different from the candidate's own disciplinary background. At best, the reviewer ignores the question, but more often the reviewer is compelled to provide a lengthy explanation of the answer.

Our subcommittee also discussed the potential value of including Associate Professors in the promotion and tenure decision. Associate Professors are likely to be closer to the culture from which interdisciplinarity evolved, and therefore are more likely to value interdisciplinarity scholarship. Although the University's policies currently allow Associate Professors to participate in decisions regarding promotion to Associate Professor with tenure, this policy does not appear to be well known.

Recommendations:

- Academic units that make promotion and tenure decisions for interdisciplinary faculty should be required to show how the review process has taken account of interdisciplinary scholarship, such as in the constitution of the review committee and/or in the choice of external reviewers.

- To hold a unit accountable for the first recommendation, a faculty member should have the right to declare that his or her work is interdisciplinary and formally request that the promotion and tenure evaluation process take this into account.
- Careful consideration should be given to the selection of external reviewers to ensure that the breadth of an interdisciplinary scholar's work is represented. In some cases it might be advisable to seek more than the minimum number of reviewers.
- Letters sent to external reviewers should not ask the reviewer to determine if the candidate would be likely to receive an equivalent promotion at his or her institution.
- The unit serving as primary tenure home should recognize the contributions of a faculty member to other academic units (e.g., teaching, membership on thesis or dissertation committees) in the promotion and tenure evaluation.
- The policy allowing Associate Professors to participate in decisions regarding promotion to Associate Professor with tenure should be made explicit in the EPA Personnel Guidelines and other documents that are consulted by unit heads and administrative staff responsible for making personnel decisions.
- In the Provost's document, "Dossier: Format for Tenure Track or Tenured Faculty Review," the section that provides guidelines for the formatting of the chair's letter should be revised to instruct the chair to address, if relevant, the faculty member's interdisciplinary work as a contribution to the core values of the University's mission.

4. Establish Clear and Realistic Expectations for Tenure and Promotion

Conferral of tenure represents a significant commitment of resources by the institution. As a consequence, the institution has a responsibility to institute policies and procedures that result in sound tenure decisions. As part of the goal of ensuring good tenure decisions, it is important that the tenure process is transparent, and that procedures are put in place to monitor tenure processes and decisions. On both counts (transparency and monitoring), current practices could be improved.

A. Tenure Guidelines

Recommendation: All academic units that recommend tenure and promotion should be directed to review their hiring, promotion and tenure policies to ensure clear and reasonable expectations now and in the future whenever the unit is externally reviewed (at least every 10 years). The Executive Associate Provost should have responsibility for making sure tenure and promotion policies are up to date and accessible at the unit level.

In setting these policies, the requirements and expectations for promotion and tenure should be as clear as possible. There should be sufficient periodic review of tenure-track faculty members to tell them how they are progressing. Stated policies should be adhered to consistently and thoroughly. Appointment letters should state clearly the meaning of tenure conferred, and clearly spell out the implications of contingency clauses.¹

B. Monitoring

It is difficult to obtain data on the results of current tenure practices and processes at UNC-CH. Without such data, it is difficult to judge the success of these practices. For example, we were unable to obtain data on the current or past success/fail rates of tenure cases, or the use of extensions to the tenure clock by faculty members.

Recommendation: Data relating to tenure-track positions should be collected on a university-wide basis. In particular, we recommend:

a. Consistent data collection and aggregation. Ensuring consistent collection of data in a longitudinal study of tenure outcomes, including the hiring of new faculty, the exit of faculty members for different reasons, the use of leaves of absence and other extensions of the tenure clock, the frequency of lawsuits over tenure decisions, and the outcomes of successful and unsuccessful probationary and tenure reviews, at all levels.

b. Survey of current untenured faculty. Conducting a survey of currently untenured tenure-track faculty members (as in the COACHE survey) regarding their perception of the clarity of the tenure process and expectations for tenure; whether they have engaged in strategies to extend the probationary period, or are interested in doing so; and their understanding of the benefits and responsibilities of tenure. We also recommend including questions about faculty members' perceptions of 'quality of life' as related to the tenure process.

C. Tenure clock

The data that we were able to collect, while incomplete, suggest that the proportion of tenure-track faculty at UNC, compared to fixed-term faculty, is declining over time. Changes in the composition of the faculty, and in particular the proportions of fixed-term and tenure-track faculty, is part of a national trend in the decrease in the proportion of tenure-track positions over the last 30 years, as documented by the AAUP. At UNC, the current proportion is approximately 40% fixed-term faculty and 60% tenure-track. Nationally, tenure-track positions have declined from 59% to 31%.

In addition to the decline in the proportion of tenure-track faculty, the meaning of tenure may itself be changing in some units; in particular, the use of contingency clauses has increased. Both of these changes likely reflect the resource constraints that the conferral of tenure places on the institution. It is important that the institution consider whether

¹ We noted that the most recent COACHE Survey suggested that untenured faculty perceive that the current tenure standards at UNC-CH as unclear and perhaps unfair.

changes in the process, and in particular extension of the tenure clock, may give some units the ability to make better tenure decisions.

The suitability of the current tenure clock may vary from unit to unit since research programs and measures of success differ substantially across areas. In the School of Medicine, for instance, the insistence on obtaining prestigious R01 grants from the NIH as a prerequisite for tenure has run into the problem of increasing scarcity of such grants. The more competitive grant landscape has contributed to an interest in some medical schools to extend the tenure clock.²

Increasing the standard probationary period, while giving individual units the ability to confer tenure inside that period, is an option that could be valuable to both the institution and the faculty member. The criticism of greater flexibility in the tenure clock is that an administratively decreed change in the probationary period may give the institution the ability to exploit the faculty member by keeping her or him in limbo longer. But it appears that some units are already finding ways to keep faculty in (limited) limbo through the use of contingency clauses and perhaps through substituting fixed-term faculty for tenure-track faculty.

Given the lack of good data on the current use of family leave and extension of instructor status as methods of extending the tenure clock, and differing expectations across schools, we recommend further study of these issues. We suggest that the creation of a new policy should have as its goal a better, more informed tenure process leading to better tenure decisions. Individual units should first reconsider how realistic their expectations are for determining tenure within the current university probationary period. Schools or departments may be able to make the case that better tenure decisions will result from offering their faculty members a longer tenure clock, for reasons of competition with peer institutions, grant funding, lengthy setup times for research projects, or publication lag-times.³ Longer tenure clocks should be considered only if expectations are clear, realistic and time-limited.

5. Ensure good mentoring

Mentoring is central to both individual and institutional success. Good mentorship is a hallmark of successful academic units. The department chair or school dean is responsible for ensuring mentoring is available and for establishing an environment conducive to and supportive of mentorship. Senior faculty members have a responsibility to support and advise their junior colleagues. Junior faculty should be proactive in developing mentoring relationships and are responsible for taking advantage of the mentorship opportunities available to them.

² See the November 4, 2008, letter on this subject from Eugene Orringer, Executive Associate Dean for Faculty Affairs at the School of Medicine, to Provost Bernadette Gray-Little.

³ See, for example, the differing school and university tenure clocks at the University of Michigan, described in "Guidelines regarding University of Michigan Policies that Govern Time to Tenure Review ('The Tenure Clock') and Related Matters" (April 20, 2005).

Mentoring should be designed to meet the goals of the mentee. Mentoring requires a trusting, confidential relationship built on mutual respect, so optimal mentoring relationships are voluntarily established rather than dictated. The best mentoring relationship creates a safe space in which the junior faculty member can openly and honestly discuss challenges, problems and concerns, and be assured of confidentiality as well as advice and support. It may be desirable for an early-career faculty to have multiple mentors. One mentor might assist a junior faculty member develop an independent academic identity, but a different mentor might be better prepared to help the junior faculty member balance professional and personal demands.

While we are aware of many instances of exemplary mentoring at Carolina, our sense is that mentoring remains sporadic and variable across campus. Our hope is that this report will serve to stimulate a campus-wide discussion of and commitment to mentorship. Toward that end, we (1) discuss the functions of a mentor; (2) discuss mentorship best practices; and (3) make recommendations that should enhance mentoring on the Carolina campus.

1. The Functions of a Mentor

(a) Developing an academic identity and a body of scholarship

While it is the unit head's responsibility to inform junior faculty members of the steps, deadlines and paperwork required in the promotion and tenure process and to clearly convey the unit's performance expectations, a mentor goes beyond this basic advising function to assist the junior faculty member in developing an academic identity and a coherent research, teaching, engagement and service agenda. In other words, a mentor helps a junior faculty member learn how to weave his or her research, teaching, engagement and service into a coherent whole, thereby identifying a clear path to promotion and tenure.

(b) Introduction to the institutional culture

Every organization has both formal and informal structures, written and unwritten standards and expectations, which together comprise the institutional culture. Formal promotion and tenure structures include the written tenure regulations, the number of external letters required, and the process through which teaching is evaluated. Informal promotion and tenure structures include such things as what activities dominate the tenure decision, the weight placed on external letters, and whether it is wise to chair committees before tenure. Mentors can be invaluable in helping junior faculty understand the informal structures within the University and their academic units. Indeed, an appreciation of the institutional culture and the ethos that guide and define acceptable behavior and actions both within the University and across the profession can be the difference between promotion and termination.

Any successful senior faculty member who has some sense of the institution and involvement in the profession can help junior faculty understand the informal structures.

The most important factor is the experienced professor's willingness to spend time with the junior faculty member. Chairs and deans can play a role in the process, but sometimes the unit head's outlooks and preferences are an integral part of the institutional culture with which the junior faculty member must become familiar, and a different voice is needed to provide perspective. Since junior faculty must be able to work with the chair or dean to be successful, other senior faculty, perhaps even faculty from outside the department or school, may be better situated to help assistant professors understand internal issues.

(c) Networking and establishing linkages

Exposure to positive, career-building opportunities at the right time is crucial to success in academia. Guiding young faculty to the correct individuals and resources, both locally and nationally, is an important service that can help ensure a successful career start for a faculty member. In addition to promoting participation in disciplinary meetings and activities, a mentor can encourage and facilitate interdisciplinary involvement when the benefits for tenure and promotion are clear.

2. Mentorship Best Practices

The chair or dean has the responsibility to ensure that all junior faculty develop clear plans leading to promotion and tenure.

- The chair or dean should provide all junior faculty, in writing, with a timetable showing when reviews will occur and what steps the junior faculty member must take to succeed at each review stage.
- The chair or dean should convey to the junior faculty member, in writing, what the department's or school's expectations are for a successful third-year and tenure-promotion review in the faculty member's discipline or field.
- The chair or dean is responsible for ensuring all paperwork is complete and deadlines met.

The chair or dean is responsible for creating an organizational culture that encourages junior and senior faculty to develop mentoring relationships and rewards effective mentorship.

Recommendation:

Each department or school should have a mentoring plan. The plan should ensure that each junior faculty member has at least one senior faculty mentor.

Among the elements that a mentorship plan might include are:

- Informal opportunities for junior and senior faculty members to interact with and get to know one another, such as coffees and lunches, to pave the way for development of mentoring relationships.
- A faculty research venue in which both junior and senior faculty members present their work in progress and share research ideas.

- Writing groups among the faculty, small groups of faculty members who meet regularly to share what they have written, critique one another's work, offer each other advice, guidance and encouragement.
- Periodic teaching colloquia at which faculty are brought together to discuss issues related to effective teaching and/or explore new ideas and teaching techniques.
- A plan for regular peer teaching reviews of junior faculty by senior faculty.
- Junior faculty development workshops, addressing such issues as how to get funding, write grant proposals, select an appropriate journal or publisher for your work, obtain invitations to speak at conferences, etc.
- Sessions for senior faculty that focus on how to be a mentor, what constitutes successful mentorship, the value of mentorship for junior faculty members, senior faculty members, and the institution.
- Recognition of and rewards for mentoring, e.g., recognizing mentoring as important departmental service, establishment of a mentor-of-the-year award, recognition of a mentor's contributions when acknowledging the success of a junior faculty member (similar to the way in which dissertation advisors are recognized).

Ultimately the success of a mentoring relationship depends on the commitment of the individuals involved. A good mentor does some or all of the following:

- Meet regularly with his or her mentee.
- Act as an advocate for the mentee.
- Assist the mentee in developing a professional plan of action.
- Provide advice and support on grant-writing and publication.
- Introduce the mentee to colleagues both on and off campus.
- Invite the mentee to collaborate on projects that might result in publication and/or grants or paves the way for the mentee to collaborate with others.
- Provide teaching advice and guidance, volunteer to observe the mentee's classes and provide feedback, share teaching materials, invite the mentee to serve on graduate and/or undergraduate honors committees.
- Make sure the mentee is aware of the many resources available on campus, such as the Center for Faculty Excellence, the Provost's Website with critical promotion and tenure information, junior faculty development grants, etc.
- Recommend the mentee for activities that will help him or her establish a national reputation, such as speaking at conferences and participating in symposia workshops.
- Help the mentee determine which types of service activities are best to undertake at each stage of his or her career.
- Assist the mentee in identifying colleagues at other institutions who might eventually serve as external reviewers for promotion and/or tenure.
- Provide advice on the composition and compilation of the mentee's promotion and tenure dossier.

3. Other Recommendations

A. Learning more about current practices

The first step in improving the mentoring environment on campus should be to gather data about the current state of mentoring. The results of the 2005-07 COACHE (Collaborative on Academic Careers in Higher Education) survey of job satisfaction among junior faculty, indicated room for improvement in the quality and availability of mentoring on the UNC campus. A new survey of assistant professors in their fourth and/or fifth years — more detailed and targeted than COACHE survey — would be useful in ascertaining not only what the mentoring environment is on campus but also what the mentoring expectations and needs of junior faculty are. Alternative sources of mentoring information might come from focus groups or interviews with junior faculty.

Recommendation:

A survey of junior faculty (perhaps those in their fourth or fifth year) should be conducted to determine what is the mentorship environment on campus as well as to identify the mentoring needs and expectations of junior faculty.

B. Improving mentorship

Junior faculty rely on their department chairs and school deans for information and guidance about tenure and promotion procedures, and the department chair's letter is one of the most important parts of the tenure dossier. Consequently, unit heads should receive guidance on tenure and promotion practices and procedures and how to present effective promotion and tenure dossiers. In addition, chairs and deans should receive guidance on how to create a culture of mentorship within their units, develop a mentorship plan and reward mentorship. The existence and effectiveness of a departmental mentorship plan should be part of the chair's regular evaluation.

Effective mentoring requires widespread faculty commitment and effort. Consequently, campus-wide mentorship awareness and training are needed. The Center of Faculty Excellence may be the appropriate entity to undertake this effort. Workshops, panel discussions, written materials, and online training and discussion boards are just a few of the vehicles that might be used. Deans and chairs should be encouraged to devote a portion of the first faculty meeting of each academic year to a discussion of mentorship. New faculty orientation, at both the university and unit level, should include discussion of the need for and functions of mentoring. New faculty must be urged to seek out and develop strong relationships with mentors of their choice.

Recommendations:

- Regular workshops on how to prepare a promotion and tenure package and how to encourage and ensure mentoring of junior faculty should be provided for all department chairs and school deans.
- Each academic unit should have a mentorship plan in place.

- Campus-wide mentorship programs and workshops for senior faculty should be provided.

C. Rewarding mentoring

Mentorship should be recognized as an important aspect of departmental service. Tenured faculty should view mentoring as part of their service obligation. Mechanisms for recognizing and awarding outstanding mentoring should also be created. The Faculty Mentoring Award, given since 2006 by the Carolina Women's Leadership Council, is a great start but needs to be supplemented by other awards and recognitions, both on a campus and departmental or school level. Just as all Ph.D. graduates in a given year are invited to nominate their doctoral advisors for the Graduate School's Faculty Award for Excellence in Doctoral Mentoring, all faculty members tenured during an academic year could be invited to nominate senior faculty who mentored them for recognition.

Recommendations:

- Faculty members should list their mentoring activities as part of their departmental or school service.
- Mentoring awards should be instituted by the University, College, schools and departments.

Roster

Provost's Task Force on the Future of Tenure and Promotion at the University of North Carolina, 2009

Steering Committee Chair

Professor Jane D. Brown, School of Journalism and Mass Communication

Provost's Office Liaison

Professor Ron Strauss, Executive Associate Provost

Research Assistant

William Nolan

Steering Committee

Co-chairs of the Subcommittee on the Future of Tenure at the University:

Professor Carl Ernst, Department of Religious Studies

Professor Jennifer Conrad, Kenan-Flagler Business School

Co-chairs of the Subcommittee on Engagement:

Professor Jennifer Webster-Cyriaque, School of Dentistry

Professor Lloyd Kramer, Department of History

Co-chairs of the Subcommittee on New Forms of Scholarly Communication:

Professor Cam Patterson, Department of Pharmacology

Professor John McGowan, Department of English & Comparative Literature

Co-chairs of the Subcommittee on Interdisciplinary Work and Values in the University:

Professor Joy Kasson, Department of American Studies

Professor Mike Aitken, Department of Environmental Sciences and Engineering

Co-chairs of the Subcommittee on Mentorship:

Professor Ruth Walden, School of Journalism and Mass Communication

Professor Joe Templeton, Department of Chemistry

Subcommittee on the Future of Tenure in the University

Professor Joan M. Taylor, School of Medicine, Department of Pathology & Lab
Medicine

Professor Suzanne Gullede, School of Education

Professor George Retsch-Bogart, School of Medicine, Department of Pediatrics

Professor Des Runyan, School of Medicine, Department of Social Medicine

Professor Kurt Ribisl, School of Public Health, Department of Health Behavior & Health
Education

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Professor Jeff Johnson, Department of Chemistry
Professor Cecil Wooten, Department of Classics
Professor Gwendolyn Sancar, School of Medicine, Department of Biochemistry and Biophysics
Professor Margaret Leigh, School of Medicine, Department of Pediatrics

Consultants:

Vice Chancellor Tony Waldrop, Vice Chancellor for Research and Economic Development
Vice Chancellor Mike Smith, Vice Chancellor for Public Service and Engagement

Subcommittee on New Forms of Scholarly Communications

Professor Daniel Anderson, Department English & Comparative Literature
Professor Lolly Gasaway, School of Law
Professor Morgan Giddings, School of Medicine, Department of Bioinformatics
Professor Richard J. Talbert, Department of History

Subcommittee on Interdisciplinary Work and Values in the University

Professor Martin Doyle, Department of Geography
Professor Kathleen Rounds, School of Social Work
Dean Steve Matson, Dean of the Graduate School
Professor Richard Superfine, Department of Physics
Professor Adam N. Versenyi, International Studies

Consultant:

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

13. Salary Ranges - Administrators

Please prepare and upload a PDF document (or PDF documents if there is more than one) with an outline of the process your campus utilizes to establish salary ranges for vice chancellors, provosts, deans and other similarly situated administrators that are not included in the annual Board of Governor’s study establishing salary ranges. The process should outline who is responsible for overseeing establishment of salary ranges, the time line, the methods used to establish salary ranges, and the mechanisms in place to ensure ranges are appropriate. (600.3.4 B.3)

- Please name the uploaded file in the following manner: XXXX_salary_admin.pdf where XXXX=your campus abbreviation. If more than one file is uploaded, please name the files as mentioned previously and number them (XXXX_salary_admin_1.pdf).

UNC-CH_salary_admin.pdf
407.6KB
application/pdf

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

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

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Methodology for Establishing EPA Non-Faculty Salary Ranges (SAAO Tier I Positions)

Background

The University of North Carolina at Chapel Hill (UNC-CH) adheres to salary ranges established by UNC General Administration (GA) for Tier I Senior Academic and Administrative Officers as reflected in the annual GA Administrative Salary Survey. In situations where a specific UNC-CH Tier I position does not have a match in the annual survey, a salary range is developed by UNC-CH Human Resources and proposed to GA for approval. In unusual circumstances, when a position range in the annual survey is determined not to meet a specific recruitment or retention need, a salary range exception request is made to GA.

Approach

For a position not already included in the GA Administrative Salary Survey, UNC-CH targets the 75 – 80th percentile of comparable positions at peer and Carnegie doctoral-granting research institutions. A proposed salary range is developed using a “custom cut” of data from the College and University Personnel Association (CUPA) salary survey database, when a CUPA match is available. The range spread is typically consistent with the 50% spread utilized by GA.

Internal Review and GA Pre-Approval

Proposed salary ranges for any positions not already included in the GA Administrative Salary Survey are reviewed by the Associate Vice Chancellor for Human Resources, the Vice Chancellor for Workforce Strategy, Equity, and Engagement, and the Chancellor prior to being submitted to GA for approval. The Office of Human Resources is responsible for ensuring that the proposed range is based on current and relevant survey salary data and conforms to UNC Chapel Hill and GA compensation policies. Implementation of any proposed Tier I salary range is permitted only after notification of approval has been received from GA.

University of North Carolina at Chapel Hill - Salary Range Approval Request – **Sample**

Assigned CUPA Code	153260 – Dean, Library Sciences		
Assigned CUPA Definition	Persons with faculty status who serve as the principal administrator/head of an academic program, which may be a school, college or department		
Proposed Salary Range	\$171,385.00 – \$267,790.00		
Internal/Equity Comparisons			
External Comparisons	Average	Min/80 th %	Max
Carnegie Extensive	187,244	112,142/214,232	328,950
Peer Institutions	236,271	140,470/269,297	328,950
UNC System	N/A	N/A	N/A
Other Salary Data/Sources	N/A	N/A	N/A

SALARY RANGE JUSTIFICATION/RATIONALE: The Board of Governor’s Administrative Salary Study for 2013-2014 does not provide a salary range for this position. We are proposing a range of \$171,385.00 - \$267,790.00 based on a reference rate of 214,232 with a 50% range spread. The proposed salary was established based on market survey data from UNC Peer Institutions and the College and University Professional Association (CUPA). The CUPA Carnegie market survey evaluates salary data from doctoral-granting research institutions. For questions or additional information, please contact Vanessa Ragland @ 919-962-1456 or Vanessa.Ragland@unc.edu

14. Salary Ranges - Tenured Faculty

Please prepare and upload a PDF document (or PDF documents if there is more than one) explaining the process for establishing salary ranges for tenured faculty within different disciplines. The process should outline who is responsible for overseeing establishment of ranges, what is the time line, what are the methods used to establish salary ranges, and what mechanisms are in place to ensure ranges are appropriate. (600.3.4 B.4)

- Please name the uploaded file in the following manner: XXXX_salary_faculty.pdf where XXXX=your campus abbreviation. If more than one file is uploaded, please name the files as mentioned previously and number them (XXXX_salary_faculty_1.pdf).

UNC-CH_salary_faculty.pdf
267.4KB
application/pdf

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

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

15. Campus Accountability Procedures

If your campus Board of Trustees delegates the authority granted pursuant to policy to the chancellor, please prepare and upload a PDF document (or PDF documents if there is more than one) with your campus accountability procedures. (600.3.4. B.8)

- Please name the uploaded file in the following manner: XXXX_accountability.pdf where XXXX=your campus abbreviation. If more than one file is uploaded, please name the files as mentioned previously and number them (XXXX_accountability_1.pdf).

UNC-CH_accountability_1.pdf
580.9KB
application/pdf

TENURED FACUTLY SALARY RANGES FOR EACH SCHOOL/UNIT

School of Dentistry

The School of Dentistry has put a great deal of thought into creating salary ranges for EPA Faculty and Non-Faculty for FY14. Below is a list of ranges, which were derived from data appearing in the 2012 American Dental Education Association (ADEA) salary survey. This survey is highly respected and considered the definitive source of Faculty and Non-faculty salary information based upon data from the majority of Dental Schools in the United States. The UNC School of Dentistry, as well as our peer dental schools, participate in this survey and use it as a benchmark for determining faculty salaries.

When determining an EPA Faculty or Non-Faculty base salary, the UNC School of Dentistry considers the following factors (not necessarily in this order):

- 1) The attached salary ranges.
- 2) Available funding.
- 3) Labor Market Data from the most recently-published salary ADEA survey.
- 4) Salaries of current incumbents in similar positions.
- 5) Current salary of the employee or prospective employee.
- 6) Clinical revenue generated in the Scholl of Dentistry's Dental Faculty Plan (a component of base salary).
- 7) Retention of key EPA Faculty or Non-faculty employees (if applicable).

FY14 School of Dentistry Faculty Salary Ranges				
	Rank or Title			
	Administration		Min	Max
	Dean	\$ 188,262	\$ 546,214	
	Associate Dean	\$ 112,987	\$ 341,126	
	Assistant Dean	\$ 84,529	\$ 284,915	
	Allied Dental Program Director	\$ 42,543	\$ 182,397	
	Clinic Director	\$ 76,735	\$ 273,379	
	Division Director	\$ 83,264	\$ 280,917	
	Director, Other	\$ 71,610	\$ 248,612	
	Other Program Director	\$ 73,327	\$ 261,886	
	Other Administrative Title*	\$ 50,687	\$ 206,762	
	Allied Dental Education		Min	Max
	Professor	\$ 54,124	\$ 157,137	
	Associate Professor	\$ 36,692	\$ 116,617	
	Assistant Professor	\$ 36,271	\$ 111,215	
	Instructor	\$ 33,091	\$ 106,097	
		\$ -	\$ -	
	Clinical Science		Min	Max
	Department Chair	\$ 64,990	\$ 610,000	
	Professor	\$ 58,397	\$ 590,000	
	Associate Professor	\$ 56,305	\$ 484,914	
	Assistant Professor	\$ 56,246	\$ 407,784	
	Instructor	\$ 45,708	\$ 146,092	
	Lecturer	\$ 66,617	\$ 219,046	
	Other Rank	\$ 53,515	\$ 180,692	
		\$ -	\$ -	
	Research		Min	Max
	Department Chair	\$ 111,326	\$ 384,960	
	Professor	\$ 76,794	\$ 286,894	
	Associate Professor	\$ 64,016	\$ 233,626	
	Assistant Professor	\$ 52,040	\$ 178,592	
	Instructor	\$ 31,931	\$ 138,481	
	Teaching or Research Assistant	\$ 31,780	\$ 110,001	
FY14 School of Dentistry Faculty Salary Ranges By Clinical Specialty				
	Rank			
	Dental Public Health		Min	Max
	Department Chair	\$ 64,990	\$ 289,598	
	Professor	\$ 101,866	\$ 334,296	
	Associate Professor	\$ 65,670	\$ 189,623	
	Assistant Professor	\$ 56,246	\$ 164,721	
	Endodontics		Min	Max
	Department Chair	\$ 100,409	\$ 311,563	
	Professor	\$ 58,397	\$ 223,649	
	Associate Professor	\$ 81,575	\$ 243,709	
	Assistant Professor	\$ 75,847	\$ 210,246	
	Oral and Maxillofacial Pathology		Min	Max
	Department Chair	\$ 71,770	\$ 531,053	
	Professor	\$ 114,356	\$ 507,083	
	Associate Professor	\$ 56,305	\$ 347,740	
	Assistant Professor	\$ 61,034	\$ 289,155	
	Oral and Maxillofacial Radiology		Min	Max
	Professor	\$ 84,494	\$ 253,850	
	Associate Professor	\$ 68,811	\$ 206,590	
	Assistant Professor	\$ 61,328	\$ 184,841	
	Oral and Maxillofacial Surgery (with Clinical Fellowship)		Min	Max
	Department Chair	\$ 153,353	\$ 610,000	
	Professor	\$ 114,289	\$ 590,000	
	Associate Professor	\$ 95,649	\$ 484,914	
	Assistant Professor	\$ 94,756	\$ 407,784	
	Orthodontics and Dentofacial Orthopedics		Min	Max
	Department Chair	\$ 118,578	\$ 368,802	
	Professor	\$ 113,760	\$ 311,508	
	Associate Professor	\$ 93,227	\$ 256,605	
	Assistant Professor	\$ 72,408	\$ 206,331	
	Pediatric Dentistry		Min	Max
	Department Chair	\$ 102,116	\$ 320,970	
	Professor	\$ 70,155	\$ 278,499	
	Associate Professor	\$ 73,070	\$ 259,930	
	Assistant Professor	\$ 57,359	\$ 212,280	
FY14 School of Dentistry Faculty Salary Ranges By Clinical Specialty				
	Rank			
	Periodontics		Min	Max
	Department Chair	\$ 107,493	\$ 392,100	
	Professor	\$ 77,454	\$ 300,562	
	Associate Professor	\$ 57,256	\$ 250,253	
	Assistant Professor	\$ 62,889	\$ 221,417	
	Prosthodontics (with Prosth-Maxi Prosthetics)		Min	Max

School of Medicine

The process SOM applies to establish salary ranges, including who is responsible for overseeing the establishment of tenured faculty ranges or ceilings, the timeline, the methods used to establish salary ranges/ceilings, and the mechanisms that are in place to ensure ranges/ceilings are appropriate as follows:

- The maximum salary ceilings are posted directly on the Academic Personnel website and we receive the salary minimums memo to set those ranges
- UNC-CH works with ECU for the salary ceilings and all SOM clinical departments are approved by GA in July; the basic science departments follow the University guidelines
- We try and watch the salary ranges in EEO requests to ensure we are within the set ranges
- Within the SOM we currently use the AAMC's Annual Faculty Salary Survey Results (which are always 1 fiscal year behind) table 14 which lists total compensation for both public and private medical schools for all Clinical Departments by Rank by Degree (MD)
- We pull the 75th percentile for each subspecialty for each rank and then place that data in the overall Group 1, 2, or 3 scenario and then compare with UNC data from the same time period. The caps that get reported are the highest 75th percentile or the UNC salary for each group. We build in a productivity factor of 25% to allow for growth in the cap based on UNC's emphasis on clinical productivity
- These caps are then shared with ECU. We come to a mutual agreement on the caps and then they are forwarded to the Provost Office for inclusion in GA's BOG meeting for July



The University of North Carolina at Chapel Hill School of Medicine and The Brody School of Medicine at East Carolina University Clinical Faculty Salary Ceilings FY 2013-2014 and 2014-2015

Departments of Anesthesiology, Emergency Medicine, Ob-Gyn, Ophthalmology, Otolaryngology, Orthopaedics, Clinical Pathology, Radiology, Radiation Oncology, Mohs Surgery DermPath, Pediatric Cardiology, Neonatology, Internal Medicine, Cardiology, Gastroenterology, Oncology, and Surgical Subspecialties (Except Cardiothoracic Surgery)

	(2013-2014)	(2014-2015)
• Professor & Chair, Division Chief, or Center Director	\$ 1,588,000	\$ 1,985,000
• Professor	\$ 1,358,000	\$ 1,358,000
• Associate Professor	\$ 1,210,000	\$ 1,210,000
• Assistant Professor	\$ 718,000	\$ 773,000
• Instructor	\$ 575,000	\$ 613,000

Cardiothoracic Surgery

• Professor & Chair, Division Chief, or Center Director	\$ 1,969,000	\$ 1,975,000
• Professor	\$ 995,000	\$ 995,000
• Associate Professor	\$ 935,000	\$ 935,000
• Assistant Professor	\$ 600,000	\$ 636,000
• Instructor	\$ 474,000	\$ 474,000

All Other Departments

• Professor & Chair, Division Chief, or Center Director	\$ 858,000	\$ 858,000
• Professor	\$ 638,000	\$ 638,000
• Associate Professor	\$ 519,000	\$ 551,000
• Assistant Professor	\$ 451,000	\$ 474,000
• Instructor	\$ 334,000	\$ 350,000

Source: Association of American Medical Colleges, Summary Statistics on Medical School Faculty Compensation, 2012-2013, M.D. Degree, All Schools, All Regions 75th percentile or highest UNC total salary with 25% productivity calculation, or previous prevailing salary ceiling cap.

Allied Health Department

• Chair/Dean	\$ 278,189	\$ 280,200
• Division Director	\$ 210,800	\$ 219,232
• Professor	\$ 190,114	\$ 199,619
• Associate Professor	\$ 170,578	\$ 181,665
• Assistant Professor	\$ 142,369	\$ 147,478
• Instructor	\$ 116,750	\$ 120,194

Source: 75th Percentile of the 2013 Association of School of Allied Health Professionals (ASAHP) Salary Data standardized for twelve month contracts; excluding MD degree.

School of Nursing

The School of Nursing established salary ranges based on the benchmarks it receives from the American Association of Colleges of Nursing (AACN) annual salary survey of peer schools of nursing. Faculty salaries are reported for regions of the country and types of institutions, and by faculty rank, credentials, degree level and tenure track vs. fixed term status. Among the AACN categories, we use the salary data from Research I public universities with an Academic Health Center. The Dean, Associate Dean for Administrative Services, and Division Chairs oversee the establishment of ranges based on the table data from AACN as it becomes available each April. We also have a Faculty Salary Policy Committee which establishes policies and procedures for faculty salaries.

Our goal is to pay tenure track faculty at the 75th percentile of the AACN benchmark:

Professor \$132,140

Associate Professor \$95,646

Assistant Professor \$78,004

The SON mean salaries for each rank are:

Professor \$128,905

Associate Professor \$93,505

Assistant Professor \$74,162

Our salary ranges, based on 9-month, 1.0 FTE equivalents:

Professor \$104,555 – \$144,738

Associate Professor \$84,165 - \$106,351

Assistant Professor \$70,963 - \$76,581

School of Pharmacy

The Vice Dean is responsible for oversight. A number of activities and considerations have been implemented under his leadership: updated faculty salary policy on 3/20/13 that is tied to the ARPT. Effective 7/1/12, the school has established a policy that all faculty promoted to Associate Professor and Full Professor will receive an increase of \$4,000 and \$6,000, respectively. In addition, as is standard practice, we fully evaluate all salaries in the School annually. We did make several market adjustment per the 2012/13 ARP. Additionally we assess the salary and structure by a number of mechanisms including participating annual survey date (i.e. AACP salary Survey and Salary Survey for Big Ten School of Pharmacy).

A new faculty member's initial salary is based on the individual's qualifications (educational preparation, years and type of experience, productivity and accomplishments in teaching, research and service, and national or international standing), named professorships, administrative workload, equity within the School, and market conditions. The Division Chair discusses these qualifications with the Dean and the agreed salary is incorporated into the offer letter to the new faculty member.

Division Chairs conduct annual performance evaluations (Annual Faculty Merit Review) focusing on teaching responsibilities, student evaluations, new teaching innovations, mentoring of graduate students, research activities and publications, staff management, service activities, and special awards and recognitions.

As an extension to the Merit Review, an Impact Review Process is subsequently conducted. The Impact Review Process was first implemented by the School in the spring of 2005 and utilized since to guide School administrators on issues of merit- and impact-based annual salary increases, faculty retention decisions, and Academic Excellence Awards decisions.

The UNC Eshelman School of Pharmacy espouses a philosophy to acknowledge and reward exceptional faculty performance in the three primary areas of the mission of the School: Research, Education, and Service. The "Impact" the School has on the state, nation, and world and the reputation that follows is based on the constant pursuit of excellence in these three areas. This is consistent with our School's mission and recognized within our Appointment, Reappointment, Promotion, and Tenure (ARPT) document that acknowledges the Scholarship of Discovery, Education, and Application as critical elements of the promotion process. This process provides the School with a "near 360-degree" performance-based evaluation of faculty. The process also facilitates the recognition of faculty that contribute to the broad missions of the School in potentially very different ways, as well as allowing leadership of the School to appreciate the richness of the talent of the faculty. Special consideration should be given to the faculty member's contribution to all Strategic Initiatives in the School's Strategic Plan.

Based on the review process stated above, annual salary increases and adjustments for individual faculty members are recommended by their respective Division Chairs. These recommendations are forwarded to the Dean for final approval. The Dean administers salary increases and adjustments for Division Chairs and administrators. Salary allocations and increases are based on availability of funds, Merit and Impact Reviews, competitiveness with peer institutions, internal equity considerations, recruitment experience, and opportunities for career advancement

Salary ranges/ceilings for tenured faculty:

Full Professors: \$113,120-\$269,345

Associate Professors: \$97,244-\$134,072

School of Public Health

The Gillings School of Global Public Health uses data from Association of Schools and Programs of Public Health (ASPPH) annual Faculty Salary Survey to benchmark faculty salaries. We use the 50th and 75th percentiles stratified by rank and by discipline as our guide for reviewing faculty salaries. When evaluating our position against these benchmarks, we consider our faculty experience, credentials and performance. In addition, we attempt to bring in any new faculty at a salary that is at least the 50th percentile.

In addition to using the 50th percentile as the floor of our desired range, we use the ASPPH's highest salary as a guide to calculate our maximum ceilings. Our faculty salary ceilings for 2013-2014 based on our most recent industry benchmarks:

Professor and Chair	\$545,000
Professor	\$518,000
Associate Professor	\$372,000
Assistant Professor	\$282,000
Instructor	\$194,000

Kenan Flagler Business School

Faculty Salary Policy

The purpose of the salary policy is to describe the procedures and process that Kenan-Flagler Business School uses to establish faculty salaries.

Initial Salary

As a new hire faculty member, the initial salary is based on the individual's qualifications (e.g. educational preparation, productivity and accomplishments in research, teaching, and service, professional experience, and national or international standing), the rank at initial hiring (e.g., holding a named professorship), administrative load, teaching load, equity considerations within the School, market conditions, and other relevant factors. The Senior Associate Dean leads all salary negotiation efforts for the school.

Annual Reviews

Kenan-Flagler Business School assesses all salaries during the annual review process, which occurs in May and June of each year. The school uses a standard format for annual reporting of performance on areas of research, teaching and service. Materials are submitted to the Sr. Associate Dean's Office and include: a vita and a summary of his/her activities over the last two years; a list of courses s/he will teach during the upcoming academic year, and specific research and teaching goals for the next year. The Sr. Associate Dean meets with area chairs in an overview meeting to review faculty performance in their area. The Sr. Associate Dean and the area chair meet with each faculty member to discuss the assessment of his/her performance. The Sr. Associate Dean then prepares a written evaluation and sends to the area chairs for input. Once finalized, the written evaluation is sent out to each faculty member.

Salary Adjustments

An annual performance assessment is a key factor in salary increase considerations. Other factors include, but are not limited to, the following: retention concerns, increased teaching responsibilities, increased administrative responsibilities, salary compression/area equity, promotions, and market changes at peer institutions. The school uses AACSB survey data as a source of market data for comparative salary information at peer institutions. These survey data include the distribution of salaries by academic area and rank, and can be obtained for groups of business schools that also differ in ranking. These data, and so the distributions, change each year.

Contingent on the availability of funds and based on the university's salary increase guidelines/requirements for that year, the Senior Associate Dean develops recommendations for salary increases based on all factors specified above, along with input from the Area Chairs. The Sr. Associate Dean presents proposal to the Dean, and works with the Associate Dean of Business and Operations to implement. The School follows the instructions, limitations and conditions for salary adjustments as determined by the North Carolina General Assembly, UNC Board of Governors, as well as the Offices of the President, Chancellor, and Provost.

Each faculty member receives his/her new salary amount in writing.

School of Government

The School has not historically defined salary ranges or ceilings for faculty positions. We are describing our current salary structure—with some cushion added around each category—as a range to answer these questions. We think carefully about faculty salaries. Our approach is primarily driven by available resources and trying to reward faculty with equity based on their experience and achievement compared to similarly situated faculty at the School. Periodically, the School looks at data about faculty salaries in similar academic units at peer universities to help establish salaries. We also consider salaries in public sector jobs to further refine our ranges. The Dean, in consultation with the Senior Associate Dean and Assistant Dean for Human Resources, is responsible for overseeing faculty salaries and ranges. We review salaries annually when salary increase funds are available. When there are no salary increase funds, we examine salaries occasionally, in response to the need to make a salary offer to a new faculty member or to respond to an offer that a faculty member may get to leave us for another institution. When considering and setting faculty salaries, the Dean takes into consideration each individual's achievements and experience compared to other faculty in the School.

Again, this basically describes our current faculty salary structure. These are not ranges or ceilings we have enforced rigidly.

Professor	\$110,000-\$220,000
Associate Professor	\$100,000-\$140,000
Assistant Professor	\$80,000-\$120,000

School of Information and Library Science

SILS has not established a salary ceiling. To date, no SILS faculty salaries exceed the NIH salary cap for grantees. The SILS dean is responsible for salary decisions. A faculty salary committee consisting of one representative from each of the faculty ranks is elected to serve a three year term and the salary committee reviews salaries each year. SILS has established a policy of awarding a \$4000 increase in salary for promotion from assistant professor to associate professor and a \$7000 increase in salary for promotion from associate professor to full professor.

Salary ranges for SILS tenured faculty are as follows:

Tenured associate professor salaries range from \$78,602 to \$89,101

Tenured professor salaries range from \$94,884 to \$141,306

Note that these are base salaries for 9 month appointments. It does not include additional duty stipends or distinguished professor stipends. The salaries of the dean and the director of libraries who both have academic appointments in SILS are not included.

College of Arts and Sciences

We use the CUPA HR Research Institution faculty salary data as a reference point for our faculty salaries. See: <http://www.higheredjobs.com/salary/salaryDisplay.cfm?SurveyID=28> (Special Note in case you can help me with this: CAS would like to get access to this data directly, as well. This is something I had at ECU and it was tremendously helpful).

In addition, we compare our average salaries to those of our peers based on AAU data submissions and many of our departments send us salary surveys compiled by their professional organizations.

We do not have formalized salary ranges or ceilings for tenured faculty. The salary data collected (as noted above) serve as reference points. The ranges we have submitted thus far are based on the salaries of current CAS faculty by division (i.e. fine arts, humanities, social sciences, and Natural Sciences).

School of Education

In the School of Education (SOE), the Dean, Associate Dean and Assistant Dean of Administration and Finance confer regarding the current policy established by the State, General Administration and the Provost, analysis tools provided by the Provost, the current salary distribution within rank, the state of SOE salary compression created by more recent faculty hires, the available funds for salary increases, and, if known, salaries at peer Schools of Education. A spreadsheet is developed that groups all salaries in the appropriate rank category. The list is prioritized by base salary, without any stipends. In the most recent Annual Raise Process (ARP) in August 2012, the Provost provided a Salary Equity Study which formed the basis for establishing all faculty increases. In addition to the objective measures of faculty promotion and this Equity Study, subjective measures of compression between older and newer hires were also considered. Infrequently, we have to respond to salary offers from other Universities in an attempt to retain our top faculty. Most often our available funds establish the ceiling on such offers, long before we can equal any peer institutions salary structure. Often we seek Provost assistance with funding these retention offers. Ultimately, the Dean decides on the final salary in each case taking into consideration equity across faculty salary ranges and using the faculty salary equity data to determine the degree to which salaries deviate from the mean to establish salary increases and ranges/ceilings. Increases are distributed based on the extent of deviation from the mean and the impact of salary compression.

The timeline is within University guidelines based on the Annual Raise Process (ARP) taking into consideration promotions OR out-of-cycle increases in the case of additional responsibilities/duties or retention. If there is no ARP, promotion raises, as allowed by then current University policy, are processed to take effect on July 1. Recently, our base salary increases have been <10%.

The methods used is a combination of the UNC-CH Provost's Equity Study, faculty salaries above or below the SD, compression, salary ranges within rank & competitive retention to provide the maximum increase allowable while maintaining a fair distribution allocating the money allotted to the SOE and any additional funds available or added to the pool.

Most often, there is a legislative mandate for a minimal across-the-board increase to all faculty. We naturally comply with that mandate.

The Dean addresses a mixture of objective and subjective analysis, taking into consideration the UNC-CH Provost Equity Study, the Oklahoma State salary survey of other Schools of Education, salary compression within rank, distribution of salary within rank & competitive retention requirements,

We have no ceiling as funding keeps our salaries below our peer institutions.

School of Journalism

The School of Journalism and Mass Communication's Committee on Faculty Salaries is comprised of four elected faculty members that represent full, associate and assistant ranks. The committee meets to review raises given by the Dean and last met in summer 2012.

New faculty salaries are determined through negotiation with the Dean and take into account factors such as previous salary at another institution, state raises, professorships or additional duties. The school does not have a set floor or ceiling for tenured faculty, but top professor salaries are benchmarked against the Knight Professorship. The Knight Grant agreement calls for a salary that matches the highest-paid tenured professor, which currently is \$150,000.

School of Law

Traditionally in the School of Law, the dean sets salaries and makes all decisions about ranges and appropriateness. Salaries are typically only reconsidered during the summer (except for retentions, for example), after annual meetings with each faculty member that include a discussion of his/her present and ongoing scholarship, teaching and service. The dean often consults his associate deans and other members of his senior administrative team in setting salary ranges and general timelines for advancement. The School has historically valued an equitable salary structure, with few outliers on either end. Additionally, the School ordinarily keeps salaries of its pre-tenured faculty members bunched relatively closely. Moreover, there is a shared understanding about the upper limits on senior tenured faculty members salaries, even those with distinguished chairs. As a result of the salary freezes of the last several years, however, there is compression among many of our mid-career tenured colleagues. The School plans to remedy some of that compression with the proposal of some equity increases. The School has always maintained transparency with respect to salaries, and the dean shares in a memo annually a list of current faculty salaries, including any raises allocated during the previous year. The School keeps abreast of salary ranges in peer law schools across the country, particularly when it is made aware of offers being made to its faculty members. While faculty salaries at the School of Law are frankly below, and non-competitive with, salaries typically paid by elite and peer law schools, the School is unlikely for a variety of financial and cultural reasons to support salaries similar to the top private and public law schools.

In the School of Law, there are no fixed ceilings (or floors) on salary for tenured faculty. After some proposed equity raises are approved, the lowest paid tenured faculty member's base salary will be \$131,168. The highest paid tenured faculty member's salary will be \$221,052.

School of Social Work

The Dean of the School of Social Work oversees this process and makes decisions based on merit, market, equity, gender and ethnicity. The Dean uses salary data from the top 10 schools of social work in the public and private sectors to provide benchmark and competitive salary rates.

Tenured salary ranges begin at \$73,500/9 month (\$98,000 annualized 12 months) for assistant professor with the current ceiling for a full professor w/tenure at \$165,854/9 month (\$221,139 annualized 12 months). The School of Social Work faculty are 9 month employees eligible to earn summer salary.

Campus Accountability - EPA Non-Faculty Appointments, Position Establishment & Salary Increases

This procedure outlines the guidelines and procedures for requesting new EPA Non-Faculty appointments, establishing new positions and awarding “out-of-cycle” increases for EPA Non-Faculty employees.

Appointment: EPA Non-Faculty Research Staff, Instructional Staff, and Tier II Senior Academic and Administrative Officers

Employees will generally be appointed to at-will appointments and all Tier II Senior Academic and Administrative Officers may only be appointed at-will. Only in exceptional circumstances and with the approval of the Chancellor or his/her designee (Vice Chancellor for Workforce Strategy, Equity and Engagement) may Research or Instructional Staff be appointed to a stated term of appointment from one to five years. The appointment will be presumed to be employment at will unless the letter of appointment clearly states that the appointment is for a stated term of employment.

Campus units are required to comply with all requirements and procedures established by the Equal Opportunity and Compliance Office during the recruitment and selection process, which includes obtaining final approval from that office before making an offer of employment to a specific individual.

Background checks are conducted as a condition of appointment. A background check is required at the time of initial appointment and for subsequent job changes that result from a competitive recruitment or recruitment waiver. The appointing department must receive the final results of a background check (with the exception of the credentials verification) prior to extending an offer of employment. Prior criminal convictions, serious driving infractions (when applicable), or falsification of credentials revealed in background checks will be assessed for potential risks to the proposed appointment. OHR, in consultation with the appointing Department Head and the School/Division Human Resources Officer or his/her designee, may exercise discretion in determining whether there are mitigating factors which may still permit the appointment to proceed.

In compliance with North Carolina law, all State of North Carolina agencies and universities, including UNC-Chapel Hill, are required to participate in the E-Verify program, which became effective Jan. 1, 2007. The University verifies each new employee’s employment eligibility using the U.S. Department of Homeland Security’s E-Verify program immediately upon start of work. An individual’s employment will be terminated if he/she fails to comply with the employment verification requirements, or if it is determined that he/she is not authorized to work in the United States, or if a non-immigrant alien’s temporary work authorization expires.

Position Establishment

EPA Non-Faculty positions are broadly divided into two categories: Instructional, Research and Public Service (IRPS) and Senior Academic and Administrative Officers (SAAOs). Any position which is requested for classification to EPA non-faculty status must be classified into one of these categories.

Any newly established position or any changes to working title, reporting relationship, duties, or education/experience requirements of an existing vacant or filled EPA non-faculty position must be reviewed to assess any impact to the assigned EPA status. The Office of Human Resources will review any submitted modifications to determine if the position continues to satisfy current EPA non-faculty classification guidelines. ***Requests for EPA Senior Academic and Administrative Officer (SAAO) positions require additional approval by UNC General Administration.***

Out of Cycle Salary Increases

“Out-of-cycle” increases are any adjustments to base salary excluding adjustments accomplished as part of the normal EPA annual raise process (ARP), a salary supplement (which is not part of base pay) or from a job change resulting from a competitive recruitment or waiver of recruitment. Out-of-cycle requests should be non-routine in nature and must have a specific and detailed justification. The following are justifiable reasons to propose an out-of-cycle salary adjustment:

- To recognize permanent, newly added additional duties which are substantive in nature; temporary additional duties are compensated using an administrative salary supplement and not a permanent adjustment to base salary. In the case of newly added duties, the duties in question should be demonstrated to substantially increase the scope and complexity of the employee's position. Minor changes in duties and responsibilities should be addressed in the ARP process. A Position Modification must be completed in EPAWeb Position Management prior to OHR approval of salary adjustments based on additional duties.
- To address documented salary equity issues including those caused by the salary of a newly appointed employee within a work unit. Equity may be used when a new hire has been appointed at a higher salary rate than existing employees in the same classification within a particular unit, department, or division. Justification for an increase due to internal equity must identify the inequity and justify the rate of increase based on the relative job level, education, credentials, and/or experience of the affected employees.
- To address job equity in comparison to market or "labor market". Labor market is defined as the area within which employers compete for labor. The market is composed of those institutions, businesses and organizations from which University units recruit or would logically recruit. Justification for an increase due to labor market/external equity must be substantiated by market survey data.
- As a retention offer for an employee who has a documented, confirmable salary offer from an outside institution. In instances where an offer has not been presented, departments must be able to demonstrate that the intended salary increase recipient is considered a finalist for the external position. Justification for an increase due to retention should include an assessment of the individual's merit and value to the institution and the circumstances warranting a retention adjustment.

PROCESS AND APPROVALS

- Out-of-cycle requests must be documented on the [FY 2013/14 SPA and EPA Salary Adjustment/Supplement form](#). This form, in Microsoft Excel format, should be emailed to the EPA Non-Faculty HR unit at epanfsalaryrequest@unc.edu.
- **Any** permissible base salary increase as listed above (**regardless of the amount**) for an EPA Non-Faculty employee requires approval by the Office of Human Resources with notification of such approval submitted to the Office of the Chancellor.
- Chancellor approval is required if the cumulative amount of all of the employee's increases fiscal year-to-date is 10 percent or higher of the prior June 30 total compensation. While pre-approval is not required for increases less than 10%, the Chancellor shares accountability for all increases for EPA Non-Faculty permanent employees.
- Board of Trustees (BOT) approval is required if the cumulative amount of all of the employee's increases fiscal year-to-date is 10 percent or higher of the prior June 30 total compensation.
- Board of Governors (BOG) approval is required if the cumulative amount of all of the employee's increases fiscal year-to-date is 10 percent or higher of the prior June 30 total compensation. *This pre-approval requirement applies to temporary compensation for any permanent employee when the temporary compensation shall either exceed nine months in duration **or** 25% of the prior June 30 total compensation, regardless of duration.*
- EPA Non-Faculty salary increase effective dates may be no earlier than the first of the month in which the proposed increase receives its final required approval. Salary increases will not be processed until all required approvals as listed above have been received.

Campus Accountability - EPA Non-Faculty Appointments, Position Establishment & Salary Increases

		Permitted State Funds	Permitted Non-State Funds	Office of Human Resources	Office of the Chancellor	Office of the President	Board of Trustees (BOT)	Board of Governors (BOG)
Action Type	Percentage							
1a – Internal Competitive Event	<10%	Yes	Yes	Y	N	N	N	N
1a - Internal Competitive Event	≥10%	Yes	Yes	Y	Y	N	Y	Y
1b – External Competitive Event	<10%	Yes	Yes	Y	Y	N	N	N
1b - External Competitive Event	≥10%	Yes	Yes	Y	Y	Y	N	N
2a - Increase in job duties or responsibilities; includes reallocation or reclassification of job	<10%	Yes	Yes	Y	Y	N	N	N
2a - Increase in job duties or responsibilities; includes reallocation or reclassification of job	≥10%	Yes	Yes	Y	Y	N	Y	Y
2b – Temporary adjustment related to an increase in job duties or responsibilities; salary will revert when temporary duties cease	Duration less than 9 months OR results in increase below 25%	Yes	Yes	Y	Y	N	N	N
2b – Temporary adjustment related to an increase in job duties or responsibilities; salary will revert when temporary duties cease	Duration greater than 9 months OR results in increase above 25%	Yes	Yes	Y	Y	N	Y	Y
3 - Retention	<10%	Yes	Yes	Y	Y	N	N	N
3 - Retention	≥10%	Yes	Yes	Y	Y	N	Y	Y
4 - Career Progression adjustment for demonstrated competencies SPA ONLY								
12 – All Other (includes non-state and state funding increases e.g. prevailing wage, labor market and equity)	<10%	Yes	Yes	Y	Y	N	N	N
12 – All Other (includes non-state and state funding increases e.g. prevailing wage, labor market and equity)	≥10%	Yes	Yes	Y	Y	N	Y	Y

1. An employee in a temporary job is subject to the same general salary increase requirements as a permanent employee
2. Course overloads are considered task-based compensation and are not included in the 10% pre-approval process
3. Additional Duties: Duties should be demonstrated to substantially increase the scope and complexity of the employee's position.
4. Increases that cause salaries to exceed the salary ranges established for Instructional Staff, Research Staff and Tier II – Senior Academic and Administrative Officers require prior approval of the Vice Chancellor for Workforce Strategy, Equity and Engagement
5. Increases that cause salaries to exceed the salary ranges established by General Administration for Tier I – Senior Academic and Administrative Officers require prior approval of the Board of Governors

Action Type		Office of Human Resources	Office of the Chancellor	Office of the President	Board of Trustees (BOT)	Board of Governors (BOG)
Personnel	Employee Type					
Appointment	Instructional Staff	Y	N	N	N	N
Appointment	Research Staff	Y	N	N	N	N
Appointment	Senior Academic Administrative Officer Tier II	Y	Y	Y	N	N
Appointment	Senior Academic Administrative Officer Tier I	Y	Y	N	Y	Y
Position Category						
Instructional and Research Staff		Y	N	N	N	N
Physicians and Dentists		Y	N	N	N	N
Chancellors		Y	N	N	N	Y
Provosts, Vice Chancellor and Deans		Y	Y	N	N	Y
Directors of major administrative, educational, research and public service activities		Y	Y	N	N	N
Assistant and Associate Vice Chancellors, Assistant and Associate Vice Provosts, Assistant and Associate Deans		Y	Y	Y	N	N
Members of the Chancellor's professional staff		Y	Y	Y	N	N
Positions responsible for administrative direction of separately designated divisions or departments commonly associated with higher education		Y	Y	N	N	N
Positions whose primary responsibility is to attract external funds and/or market the University		Y	Y	Y	N	N
Other officers holding position characterized by active, continuing involvement in formulating, interpreting, and implementing institutional policy and exercise of substantial independence of administrative authority and discretion in areas such as program planning and design and allocation of resources		Y	Y	Y	N	N
EPA Non-Faculty Generic Positions		Y	Y	N	N	N

Pre-Approval Accountability Requirement for Faculty Salary Actions

			Permitted State Funds	Permitted Non-State Funds	Chancellor/ Provost	Office of the President	Board of Trustees (BOT)	Board of Governors (BOG)
Salary Code	Salary Code Description	%						
1a	Internal Competitive Event - Employee applies for an internally recruited job vacancy, is selected competitively, and changes jobs. (Includes SPA to Faculty) (See note #9 below)	<10%	Yes	Yes	N	Y	N	N
1a	Internal Competitive Event - Employee applies for an internally recruited job vacancy, is selected competitively, and changes jobs. (Includes SPA to Faculty)	≥ 10%	Yes	Yes	Y	N	Y	Y
1b	External Competitive Event - Employee applies for an externally recruited job vacancy, is selected competitively, and changes jobs. (Includes SPA to Faculty) (See note #9 below)	<10%	Yes	Yes	N	Y	N	N
1b	External Competitive Event - Employee applies for an externally recruited job vacancy, is selected competitively, and changes jobs. (Includes SPA to Faculty)	≥ 10%	Yes	Yes	Y	N	Y	Y
2a	Increase in job duties or responsibilities; includes reallocation or reclassification of job	<10%	Yes	Yes	N	N	N	N
2a	Increase in job duties or responsibilities; includes reallocation or reclassification of job (See note #6 below)	≥ 10%	Yes	Yes	Y	N	Y	Y
2b	Temporary adjustment related to an increase in job duties or responsibilities; salary will revert when temporary duties cease	<10%	Yes	Yes	N	N	N	N
2b	Temporary adjustment related to an increase in job duties or responsibilities; salary will revert when temporary duties cease (See Note #2 below)	≥ 10%	Yes	Yes	Y	N	Y	Y
3	Retention	<10%	Yes	Yes	N	N	N	N
3	Retention (See note #5 below)	≥ 10%	Yes	Yes	Y	N	Y	Y
5	University Cancer Research Fund	<10%	Yes	Yes	N	N	N	N
5	University Cancer Research Fund	≥ 10%	Yes	Yes	Y	N	Y	Y
6	Distinguished Professors Endowment Fund	<10%	Yes	Yes	N	N	N	N
6	Distinguished Professors Endowment Fund	≥ 10%	Yes	Yes	Y	N	Y	Y
7	Faculty Recruiting and Retention Fund	<10%	Yes	Yes	Y	Y	N	N
7	Faculty Recruiting and Retention Fund	≥ 10%	Yes	Yes	Y	Y	N	N
12	Other (must explain in comments)	<10%	Yes	Yes	N	N	N	N
12	Other (must explain in comments)	≥ 10%	Yes	Yes	Y	N	Y	Y

Pre-Approval Accountability Requirement for Faculty Salary Actions

Notes:

1. Most faculty salary increases exceeding the 10% fiscal year-to-date cumulative threshold are required to have Chancellor/Provost, BOT, and BOG approval unless specifically exempted per the "FY 2014-15 Salary Increase Guidelines" here http://hr.unc.edu/policies-procedures-systems/spa-employee-policies/compensation/non-faculty-salary-increase-interim-guidelines/#Faculty_Guidelines
2. Temporary increases for a duration longer than 9 months or at or above 25% of the June 30 salary require full pre-approval
3. Tenured faculty in-rank promotions that exceed the 10% threshold do not need to have Chancellor/Provost, and BOT approval
4. Course overloads and Summer Courses are considered task-based compensation and are not included in the 10% pre-approval process
5. Retention: Faculty must be actively considered for an outside opportunity, or compelling retention risks exist based on the external market for hard-to-fill or unique skill sets. Can be used for pre-emptive and counteroffers
6. Additional duties: Additional duties should be demonstrated to substantially increase the scope and complexity of the employee's position. Minor changed in duties and responsibilities should be addressed in the ARP process
7. FTE adjustments do not required pre-approval if the pay rate does not change
8. Chair stipends that will last longer than 9 months are not considered temporary and will require pre-approval if they result in a salary that exceeds the 10% threshold
9. Competitive events resulting in an increase of over 10% but less than \$10,000, must be reviewed by the Office of the President, as well as the Chancellor/Provost
10. Clinical Faculty Pay Plan increases to compensation resulting from productivity to faculty covered by comp plans in the Schools of Medicine, Dentistry, and Pharmacy are exempt from the pre-approval process
11. Temporary Faculty are subject to the same general salary increase guidelines as a permanent faculty member

Last Updated: 3.10.2015

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36.3KB
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If this information is available at a specific URL, please paste that link below. The link must point directly to the requested information in this question.

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

16. Board of Trustee Appointment Approval

Please provide evidence of Board of Trustee approval (example: Board minutes) for all 2013-14 appointments, temporary appointments, and/or promotions to position type and tenure in which the Board of Trustees cannot or have not delegated authority.

- *Please name the uploaded file in the following manner: XXXX_BOTapproval.pdf where XXXX=your campus abbreviation. If more than one file is uploaded, please name the files as mentioned previously and number them (XXXX_BOTapproval_1.pdf).*

UNC-CH_BOTApproval.pdf
13.7MB
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BOARD OF TRUSTEES MEETING
The University of North Carolina at Chapel Hill

The Board of Trustees met in regular session on Thursday, July 25, 2013, at The Carolina Inn, Chancellor Ballroom, at 8:00 a.m. Secretary Clay presided.

OATH OF OFFICE

The Honorable Willis P. Whichard, Former Associate Justice of the North Carolina Supreme Court, administered the Oath of Office to new members of the Board:

Jefferson W. Brown
Charles G. Duckett
Kelly Matthews Hopkins
Dwight D. Stone

New Member: Haywood D. Cochrane, Jr., will be sworn in before the next meeting.

Reappointed member: Donald Williams Curtis, will be re-sworn before the next meeting.

ELECTION OF OFFICERS

Secretary Clay presented the slate of officers to the Board. Mr. Lambden moved approval of the following slate of officers for the term July 2013 to July 2014. The motion was duly seconded and it carried.

W. Lowry Caudill- Chair
J. Alston Gardner- Vice Chair
Sallie Shuping- Russell- Secretary
Erin Schuettepelz- Assistant Secretary

ROLL CALL

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

W. Lowry Caudill, Chair	Charles G. Duckett
J. Alston Gardner, Vice Chair	Peter T. Grauer
Sallie Shuping-Russell, Secretary	Kelly Matthews Hopkins
Jefferson W. Brown	Steven J. Lerner
Phillip L. Clay	Dwight D. Stone
Donald Williams Curtis	Christy Lambden

Haywood D. Cochrane, Jr. was absent.

Chair Caudill opened the meeting by reading the following statement regarding the State Government Ethics Act:

"As Chair of the Board of Trustees, it is my responsibility to remind all members of the Board of their duty under the State Government Ethics Act to avoid conflicts of interest and appearances of conflict of interest as required by this Act. Each member has received the agenda and related information for this Board of Trustees' meeting. If any Board member knows of any conflict of interest or appearance of conflict with respect to any matter coming before the Board of Trustees at this meeting, the conflict or appearance of conflict should be identified at this time."

CONSENT AGENDA

Approval of Minutes

On motion of Mr. Lambden, and duly seconded, the minutes of the regular meeting of May 23, 2013, were approved as distributed.

Ratification of Mail Ballots

On motion of Mr. Lambden, and duly seconded the following mail ballot dated June 17, 2013, was approved as distributed:

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

(ATTACHMENT A)

On motion of Mr. Lambden, and duly seconded, the following mail ballot dated June 19, 2013, was approved as distributed:

- Report of the Visioning Committees.

(ATTACHMENT B)

CHAIR'S REMARKS

Chair Caudill thanked the trustees for their vote of confidence in the slate of officers selected by the Nominating Committee. He mentioned that he is honored to serve as chair this year, along with Vice Chair Alston Gardner and Secretary Sallie Shuping Russell. Chair Caudill then welcomed the new members of the board and mentioned the orientation that took place on Tuesday:

- Jeff Brown of Charlotte
- Haywood Cochrane of Elon
- Chuck Duckett of Winston-Salem
- Kelly Hopkins of Charlotte, and
- Dwight Stone of Greensboro

Chair Caudill then welcomed our new chancellor, Carol Folt. He continued his remarks by highlighting the following four goals:

1. Ensure a smooth and effective transition for Chancellor Folt and the new members of her senior leadership team.
2. Build stronger relationships with the University's key external constituencies.
3. Create a sustainable approach to Enterprise Risk Management for the University.
4. Mature and consolidate our work on innovation and entrepreneurship so we can quantify and effectively communicate that impact in North Carolina and beyond.

Chair Caudill then mentioned the following four standing committees this year:

1. Trustee Lerner is chairing Finance and Infrastructure, which covers a wide range of areas related to funding, IT, facilities and operations.
2. Vice Chair Gardner is chairing University Affairs, which covers academic areas along with the areas serving and supporting students, faculty and staff, diversity and athletics.
3. Trustee Curtis will chair External Relations which covers our external constituencies and partners as well as University Development.
4. Trustee Clay is leading a new committee we are calling Innovation and Impact which will bring together all of our innovation and entrepreneurship activities on campus for the very first time. The goal is to facilitate the innovation activities and maximize their impact on North Carolina.

Two task forces have been created to further support our board goals:

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1. Vice Chair Gardner will chair an External Relations Task Force, which will include trustees, key administrators – including the new vice chancellors for communications and development when they are hired. This group will identify key audiences, develop strategy and execute the resulting plan.

2. Board Secretary Shuping Russell will chair the Enterprise Risk Management Task Force. This task force will create a sustainable approach that will be incorporated into ongoing university operations. They will identify 3-4 strategic opportunities that we must seize so that Carolina remains in the upper echelon of universities in the United State and the world for decades to come. Additionally, they will identify 3-4 operational areas with significant existing or potential risk and provide recommendations for mitigation or elimination of risk. Task Force members will include trustees and administrators, including Provost Dean, Vice Chancellors Crisp, Gray, Strohm and Entwisle.

Chancellor Folt will serve ex officio on both task forces.

Chair Caudill concluded his remarks by mentioning that he and Chancellor Folt will be available after the break at 10 am to take questions.

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

STUDENT BODY PRESIDENT'S REMARKS

Mr. Lambden commented on what student government has been doing this summer and gave reports on the following:

- Affordability- A number of students visited the legislature and they are very disappointed about the 12.3% tuition increase for out-of-state students;
- Academics- Students are also very discouraged by the upcoming changes regarding the drop/add period, but we are currently collecting research from many sources to help us understand what the ramifications of the policy may be; and
- Safety- Key leaders in the campus community have been discussing the sexual assault policy. Major goals have been set to tackle this, as well as actions taken to address what can be addressed now. A dedicated task force is working on areas of focus and actions to be taken. Some of these are: prevention, appointment of a Title IX officer, and launching a mobile app that would allow students to send a distress signal if they felt in danger. The task force has also discussed the definition of consent, and they have decided that this should be the focal point of the policy. Also discussed was what support needs to be offered to a complainant, and what the process should look like once a complaint has been registered.
- Orientation- I have been welcoming new students to campus and I have been inspired by the excitement that the class of 2017 has to be a part of the Carolina community.

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

CHANCELLOR'S REMARKS

Thank you, Chair Caudill Trustee Lambden and all of the trustees for your warm welcome. It is a pleasure getting to know and work with all of you. There is an incredible sense of service and strong dedication to UNC-Chapel Hill by every member of the Board. Your deep commitment to the people of North Carolina will be an enduring model for me. I appreciate the significance of this meeting as the first in a leadership transition for Carolina. As your new chancellor, I am joining a new provost, Jim Dean, a new board chair, and 5 new trustees. It is a privilege to be part of this wonderful and talented group of people, and I am pleased to see that already we have found so many points of shared excitement and focus for our work ahead.

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Provost Dean and I also feel very fortunate because we are joining a seasoned and creative team of vice chancellors, deans and staff, and we are grateful for all they are doing to assist with this leadership transition. Because of all of them and you, my predecessor, the past members of the Board, President Ross and the folks at GA, and many others, I would say that our transition so far has been very smooth. Thank you.

As you all know, this is my first meeting with the full Board of Trustees. It has been terrific so far; I appreciate the efforts by new colleagues to orient all of us about so many facets of this great university. It has been impressive. The depth of interest, experience, knowledge of the board has been also particularly obvious to me. It begins with Chair Lowry Caudill and the other ongoing trustees but extends to all trustees, each of whom has already been extremely important in this leadership transition.

With the remainder of my time today, I'd like to briefly share a bit about how I've been spending my time so far, and a few first impressions, and then a few thoughts about the next few months.

One of the most enjoyable aspects of starting a new position is meeting and talking with so many new people, even before arriving in Chapel Hill on July 1st. I spent a lot of time talking and visiting with many members of the Carolina family- I have met with faculty, staff and students in a number of different venues. I have been to games, met with coaches, walked the campus, went downtown, began to learn the region, visited or talked with a number of Carolina alumni, and did lots of reading and listening. I have been taking a deep dive into a number of issues with my senior administrative team and of course, look forward to many more of these.

One of my favorite visits was with Vice Chancellor Roper when I went over and met a lot of people in the medical school. I had a chance to learn what was going on with that team and that is the type of visit I look to repeat as often as possible. My second day, I spent half a day in Raleigh visiting with key state government and legislative leaders including Governor McCrory. I was really encouraged by those conversations and our shared commitment to advancing North Carolina.

My husband David and I, along with Provost Jim Dean and his family, attended the Town of Chapel Hill's Fourth of July celebration in Kenan Stadium with Mayor Kleinschmidt and his town colleagues. I also met with leaders from some of the region's news media organizations before I took office, with Chancellor Thorp, to talk about transparency and working together effectively in the future. That is very important to me.

With each day, I feel even more strongly the honor that it is to be here in North Carolina as Chancellor of this very special university, with its first in the nation public university traditions, its pride in its being the university of the people, and the excellence and the fullness of its academic strength. In every setting, people want to know how we can work together to make Carolina even stronger. I hear "How can I help?" more than anything else. The level of warmth and welcome so impressed me at my very first meeting with Wade Hargrove and the search committee, and it continues every day. The love of this place, the loyalty and generosity of Carolina's alumni, and their individual leadership and accomplishments create very powerful and lasting impressions.

There is a very strong sense of the importance of both this place and its immense possibility has been coming through in the many conversations I have been having with faculty, students, staff

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and alumni. The message we have been hearing over the last couple of days is crystal clear: this University is and fully intends to remain a leader in educating students and producing new knowledge that benefits North Carolina and the rest of the world, and it intends to keep that position, to take actions as needed, and to push itself even further to enhance its local and global impact and provide its students outstanding & relevant learning experiences. This community is deeply proud of its legendary pairing of academic excellence with accessibility and affordability, but while people do not want to see those great traditions change, they do want to see Carolina lead in educational innovation, discovery, and also to appear very open to discussing many types of change that could improve the educational and living experiences of students, enhance its inclusivity, and the way the university conducts its operations.

I have not heard or felt a sense of complacency, rather more strongly ambition, and urgency to see things move and progress. That is a gift! I have also found that everyone I speak to wants to be a productive part of the magic of this place (staff, students, faculty, alumni); and they want the high standards they believe have made this place strong throughout its storied history to be the culture that defines them today. The growing culture of innovation and entrepreneurship here, is flourishing thanks in part to the groundbreaking work by the Chancellor's Innovation Circle, led by Chair Lowry Caudill and supported by many of the other current and past trustees. This will do much to keep Carolina at the cutting edge in the decade ahead. You will hear more today from faculty involved. I believe that the extraordinary sense of pride and purpose I have seen so far is both precious and priceless, and this will serve us all very well.

Early thoughts about the next few months: As you can imagine, while people have spoken to me about Carolina's incredible strengths, I am also hearing a lot about opportunities for improvement and innovation. Those conversations have helped inform my early thoughts about the next few months. Moreover, Carolina, like the rest of the great research universities is in a time of rapid transition. We are in a period of exponentially growing knowledge – mastery of any field is a fleeting moment, as new knowledge, discoveries, and global opportunities change our understanding of our fields every day. Technologies, digital and social media, are completely transforming not only how we communicate, but how we learn and what we create. As educators, in the business of creating knowledge and teaching students how to build the future, this is the most exciting time imaginable. In addition, the costs of our work and the needs of our many constituents are also changing, as is the ferociously competitive nature of higher education.

Our world is the marketplace of ideas, and so the talent, every university's greatest asset is its workforce, the brainpower that fuels the work, and it is a competitive world. All of these changes will influence our work together. Carolina needs to be much more proactive in our efforts to communicate with key audiences around the state and nation about the breadth and significance of the work taking place in Chapel Hill. Strengthening our digital capacities and our strategic communications across the entire institution will be a major focus. At the same time, we need to build on the institution's strong record of success in tapping the generosity of loyal alumni and friends in making private gifts to support Carolina's excellence today and in the future. To lead both these strategic communications and development priorities, we are currently searching for two new vice chancellors. I look forward to completing my senior leadership team soon.

Many people also have spoken about the need to rebuild confidence in some of our processes. They have urged me to emphasize Carolina's willingness to address shortcomings where

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identified, and expressed a fervent desire to see Carolina become a national leader in complex and critical areas such as athletics and the academy, student health and safety, and combating sexual assault and misconduct. We are already making progress in these areas, thanks to processes that Chancellor Thorp and others put in place last year. I have talked to Dr. Rawlings recently and expect his report to be completed in the coming weeks. A Sexual Assault Task Force has also been hard at work since the spring semester ended. Led by Christi Hurt, our Interim Title IX Officer, the task force will recommend how to enhance our policies and procedures for handling student-on-student complaints of harassment, sexual misconduct or discrimination. This issue is so important on every campus, not just Carolina.

I still have a lot to learn. In the coming months, Provost Dean and I will delve deeper during visits to every professional school, the College of Arts and Sciences, the Library, the Performing Arts center and other critical institutes and centers. I am already hearing so much about University's research enterprise. There is such strong momentum. New numbers just came in this week for total research funding in fiscal 2013: \$777.8 million, which is up nearly \$11 million from last year. This achievement is a remarkable tribute to the work our faculty are doing to improve people's lives and to make North Carolina a global R&D leader. These funds are a vital source of jobs and a key driver in North Carolina's innovation-based economy.

In the coming months, my work with the senior administration will be closely aligned with the board's goals, which Lowry just articulated for the coming year:

- ensuring a smooth leadership transition
- building stronger relationships with key University constituencies
- creating a sustainable approach to enterprise risk management, and
- enhancing the excellent work that's already been done on innovation and entrepreneurship.

With Summer School ending tomorrow, I am looking forward to students and faculty returning full of energy and new ideas as we start a new academic year. Trustee Lambden and others will be helping me find many ways to meet and learn from our students. There is no place, nothing like the buzz of Carolina in full swing! My installation takes place on October 12, which is 107 days into my time here, and I plan to take that opportunity to more fully discuss my plans for working with the campus community and you to develop a bold strategy for Carolina in the future.

North Carolina invented public education; together we can reinvent where needed it for the 21st century.

KENAN INSTITUTE FOR PRIVATE ENTERPRISE STRATEGIC PLAN

Joe DeSimone, Director of the Frank Hawkins Kenan Institute of Private Enterprise; Chancellor's Eminent Professor of Chemistry at UNC; and William R. Kenan Jr. Distinguished Professor of Chemical Engineering at NC State University and of Chemistry at UNC, reported the mission of the Institute- "Have a substantial and lasting impact on the business and commercial community of North Carolina, the United States, and, eventually, the international markets as well; encouraging cooperative efforts among private enterprise, academics and government." He then highlighted our ranking with the Milken Institute and venture capital investments. The importance of research universities to our economy is increasingly clear. Dr. DeSimone mentioned the importance of investing in entrepreneurial relationships and highlighted the significance of federal research funding, although it continues to decrease significantly. Convergence is a blueprint for innovation; it is essential that different fields of study (life Sciences, physical sciences, and engineering) come together through collaboration and the integration of approaches that were originally viewed as distinct and potentially

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contradictory. Objectives for the Institute are to increase UNC-CH Entrepreneurship, expand multi-university research translation, and to leverage intellectual capital for NC economic development. Dr. DeSimone then highlighted specific initiatives related to the objectives.

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

SCHOOL OF PHARMACY STRATEGIC PLAN

Bob Blouin, Dean of the School of Pharmacy, spoke about the strategic plan: how it came about, how it has been implemented, and the successes the school has seen as a result of the plan being implemented. He mentioned that the strategic plan is directly linked to the development plan and has been hugely successful in fund raising. Carolina now has world-class classrooms and faculty.

OVERVIEW OF CAMPUS SAFETY

Jeff McCracken, Director of Public Safety and Chief of Police, gave an update regarding the campus safety department, training for employees, emergency responses, the recent campus safety drill, and transportation. He also highlighted the emergency operations plan.

REPORT OF THE FINANCE & INFRASTRUCTURE COMMITTEE

Committee Chair, Steven J. Lerner, reported to the Board that the committee heard a brief report on the Organizational Structure Overview for the committee. The following units provided a brief overview of their respective organizational charts in the following order:

- Division of Finance and Administration (Karol Gray)
- University Advancement (Julia Grumbles)
- Information Technology Services (Chris Kiert, Vice Chancellor)
- Internal Audit (Phyllis Petree, Director)
- Provost Office (Dwayne Pinkney, Vice Provost for Finance & Academic Planning)
- Athletics Operations (Bubba Cunningham, Director of Athletics)

Dr. Lerner, Committee Chair, moved ratification by the Board of the following items which were brought forth as a motion formerly approved by the committee.

- **Approval of Allocations from the Endowment's Distribution for the Investment Fund.** Karol Kain Gray, Vice Chancellor for Finance and Administration, presented for approval the transfer to the University of the Endowment's Distribution. The Board of Governors requires that the Trustees approve transfer of Endowment income to the useful possession of the institution. The Board of Trustees of the Endowment Fund has already approved, by mail ballot, the proposed transfer for University expenditure during the 2013-2014 fiscal year. Exhibit 1 is a table showing the amounts to be transferred as well as a page of explanatory notes. Exhibit 2 provides a flowchart of the approval process as background information.

The motion was duly seconded and it carried.

(ATTACHMENT C)

- **The University of North Carolina at Chapel Hill Foundation, Inc. ("Foundation") Policies and Procedures Update.** Julia Grumbles, Interim Vice Chancellor for University Advancement, presented for review and approval the Foundation's travel and expense policies and procedures. The Foundation's Board of Directors approved these revisions to the Policies and Procedures Manual.

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The motion was duly seconded and it carried.

(ATTACHMENT D)

• **Annual Audit Certification Letter Process.** Phyllis Petree, Director of Internal Audit, presented the Annual Audit Certification Letter to the Committee for approval and signatures. This letter satisfies a UNC Board of Governors requirement for the Budget, Finance, and Audit Committee to certify in writing that its members:

- Formally approved the annual internal audit plan (done in September 2012);
- Received at least four reports relative to internal audit matters from the Director of Internal Audit (presentations made in July and September 2012 and January, and May 2013);
- Received and reports with corrective action plans from projects with significant reportable conditions. There were none but Board members receive copies of all internal audit reports;
- Reviewed or discussed results from audits and reviews performed by the North Carolina Office of the State Auditor; and
- Reviewed audits and management letters for University Associated Entities.

Mr. Lambden seconded the motion and it carried.

(ATTACHMENT E)

• **Revised Internal Audit Charter.** Phyllis Petree also presented revisions to the Internal Audit Charter for approval. The changes reflect the revised name of the Finance and Infrastructure Committee and obtain signatures of the new Chancellor and Chairperson of the Finance and Infrastructure Committee.

The motion was duly seconded and it carried.

(ATTACHMENT F)

• **Designer Selection- Hill Hall Auditorium Renovation and Addition.** A gift from The William R. Kenan, Jr. Charitable Trust has initiated a project to renovate Hill Hall to restore the rotunda and lobby, and transform the auditorium into a first-rate concert hall. The project will address the deferred maintenance items which include: HVAC, life safety code and accessibility issues. An addition of approximately 10,500 SF to the auditorium will provide needed back stage area with green rooms, practice rooms, offices and storage. Total project budget is \$15M. The William R. Kenan, Jr. Charitable Trust is providing \$5M to the University subject to 2:1 matching funds. The University will provide \$5M and the College of Arts and Sciences will secure \$5M through private gifts. The following three firms are recommended in the following priority order:

- | | |
|---------------------------------|----------------|
| 1. Quinn Evans, Architects | Washington, DC |
| 2. Ann Beha Architects | Boston, MA |
| 3. Pfeiffer Partners Architects | New York, NY |

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

Mr. Lambden seconded the motion and it carried.

(ATTACHMENT G)

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

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

• **Designer Selection- Power Generation and Chiller Plant Capacity Addition.** This feasibility study will develop the project scope, schedule and cost for a new steam turbine driven chiller plant with a nominal 10,000 ton capacity and new electrical generation of undetermined capacity at the site of the Manning Steam Plant. The budget for the study is \$500k and will be funded by Energy Services receipts. The following three firms are recommended in the following priority order:

- | | |
|----------------------------------|-------------------|
| 1. Sebesta Blomberg & Associates | Durham, NC |
| 2. Affiliated Engineers, Inc. | Durham, NC |
| 3. Sega, Inc. | Overland Park, KS |

The firms were selected for the past performance on similar projects, team structure and in depth knowledge of campus energy.

Mr. Lambden seconded the motion and it carried.

(ATTACHMENT H)

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

• **Construction Manager at Risk Selection- Mary Ellen Jones Building Renovation.** With the completion of the Imaging Research Building, the School of Medicine has the ability to take six floors offline to provide a comprehensive renovation to this 1978 research building. The project will renovate the floors for new research laboratory space, address code deficiencies and deferred maintenance items, replace and enlarge exterior windows and restore precast panels. The project budget is \$77.4M and will be funded by University funds. The following three firms are recommended in the following priority order:

- | | |
|---|-------------|
| 1. Choate Construction Company | Raleigh, NC |
| 2. Brasfield & Gorrie - Metcon, A Joint Venture | Raleigh, NC |
| 3. LeChase Construction and H.J. Russell & Co. | Durham, NC |

The firms were selected for the strength of the proposed staff, understanding of the project and experience on similar projects.

The motion was duly seconded and it carried.

(ATTACHMENT I)

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

• **Acquisition by Lease of the Office Space for the Institute for the Environment.** This request is for approval to lease approximately 9,085 square feet of office space at 137 East Franklin Street, Suites 601 & 602, for the Institute for the Environment. The lease term is for two years commencing August 1, 2013 with two (2) one-year renewal option periods. The initial annual rent cost will be \$198,507.25, or \$21.85 per square foot, including utilities and janitorial service. Rent will increase 2.5% per annum beginning the second year.

Mr. Lambden seconded the motion and it carried.

(ATTACHMENT J)

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- **Acquisition by Lease of Office Space for School of Public Health, Department of Biostatistics.** This request is for approval to lease approximately 17,218 square feet of office space at 137 East Franklin Street, Suites 203,300, 400, 402,403,405, for the Department of Biostatistics within the School of Public Health. The lease term is for thirty months commencing July 1, 2013 with four (4) six-month renewal option periods. The initial annual rent cost will be \$395,497.46, or \$22.97 per square foot including utilities and janitorial service. Rent will increase 2.5% per annum at the beginning of the second year.

Mr. Lambden seconded the motion and it carried.

(ATTACHMENT K)

The following item came to the committee for action, but the committee recommended it come back to the Board after a more detailed risk assessment is done. No action was taken on this item.

- **Property Disposition by Ground Lease to the Town of Carrboro.** This request is for approval to authorize a ground lease of an amount to be determined by survey to the Town of Carrboro for the purpose of constructing a greenway on University property. This lease will facilitate the construction of a new public greenway by the Town of Carrboro, a portion of which will be located on University property adjacent to Homestead Rd. The greenway construction will be funded through NCDOT and administered by the Town of Carrboro. The Ground Lease will terminate at the conclusion of the construction of the greenway and the greenway will be gifted to the University.

(ATTACHMENT L)

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

The committee heard the following reports, for information only (no formal action was requested at that time), but these items were not reported to the Full Board.

- **Financial Update.**

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

- **Energy Savings Performance Contract.**

(ATTACHMENT M)

- **Semi-Annual Capital Report.**

(ATTACHMENT N)

- **Semi-Annual Leasing Report.**

(ATTACHMENT O)

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

- **Development Report.**

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

UNIVERSITY AFFAIRS COMMITTEE

Mr. Gardner, Committee Chair, thanked those who participated in the New Trustee Orientation on Tuesday and Wednesday. He then presented the following items for information only (no formal action was requested at that time).

- **Employee Forum Chair's Remarks.** Charles Streeter, the new Employee Forum Chair, gave a great report and summarized the things the Forum has done recently. He also mentioned the hard work put in by employees during the recent flood in Chapel Hill that greatly affected the campus. The committee asked Mr. Streeter to invite them to the next committee meeting so the trustees could publicly thank them for the great sacrifice they made.

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

- **Faculty Chair's Remarks.** Professor Jan Boxill, Faculty Chair, talked about a range of issues. One of the most significant is the dissatisfaction with the Honor System, by the faculty. They have been working diligently over the last six to nine months to make some reforms there. She has been trying to engage the faculty to work more collaboratively with the students. Judith Wegner will lead the effort. [A copy of Professor Boxill's remarks is located in the Office of the Assistant Secretary.]

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

The following items were presented for action by the committee, but due to the lack of a quorum, the vote was postponed until this meeting. The Full Board took action on the following 2 items. Dr. Clay moved approval of the following 2 items. Mr. Lambden seconded the motion and each item carried.

- **The University of North Carolina at Chapel Hill Incentive Compensation Plan for the Vice Chancellor for Development.** Pursuant to Section V.12 of the University's Policy on Non-Salary and Deferred Compensation for Faculty and EPA Non-Faculty Employees, approved by the Board of Trustees (BOT) in June 2013, the Chancellor seeks approval of an Incentive Compensation Plan for the University position of Vice Chancellor for Development. It is essential that the Chancellor be positioned to offer a competitive total compensation package to the successful candidate that includes base salary (not to exceed the UNC General Administration salary maximum for the position, currently \$395,874), along with the opportunity to receive additional annual non-base incentive compensation. This proposed Incentive Compensation Plan is a necessary and important recruitment and retention tool to attract the highest order development and fundraising talent to this critical senior officer position.

(ATTACHMENT P)

- **The University of North Carolina at Chapel Hill Educational Assistance Program for Kenan-Flagler Business School Non-Faculty Staff.** The Kenan-Flagler Business School (KFBS) seeks approval of an educational assistance program for selected EPA Non-Faculty Staff employees within the School who demonstrate outstanding job performance and demonstrate significant future leadership potential. This program reimburses tuition for a masters-level degree program offered by the School with the intention of attracting and/or retaining staff who demonstrate the potential to assume increasingly responsible leadership roles within KFBS, and to make substantial contributions to the School's mission. This program is being submitted for Board of Trustees (BOT) approval to ensure its continued availability in

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compliance with recent revisions to the University's Policy on Non-Salary and Deferred Compensation for Faculty and EPA Non-Faculty Employees, which were effective on June 1, 2013. Specifically, Section V.13. of this Policy requires BOT approval for employer-provided benefits in excess of current IRS limits for qualified educational assistance, which as of calendar year 2013 is \$5,250. Above this level, educational benefits are treated as taxable income to the employee and therefore subject to BOT approval as non-salary compensation under the aforementioned Policy.

(ATTACHMENT Q)

The following items were presented in committee, but not reported to the full board:

- **Vice Chancellor's Remarks.**

- **GPSF Remarks.**

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

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

EXTERNAL RELATIONS COMMITTEE

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

- **Legislative Update.** Jennifer Willis, Director of State Relations, gave a brief update. The outlook is positive, but a number of reductions are being taken. We won't know the full impact until everything passes.

- **Development Update.** Julia Grumbles provided an update on Development.

FY 2013 Year End Report	6/30/13	6/30/12	% change
○ Gifts Received	\$270,743,984	\$287,419,666	-5.8%
○ Pipeline	\$370,885,414 proposals in the pipeline		

Current Snapshot	July FY13	July FY12	% change
○ Pipeline	\$370,885,414	\$280,488,199	22%

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

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

- **UNC Horizons: Current Successes and Future Vision.** John Thorp, McAllister Distinguished Professor; Division Chief of Women's Primary Healthcare; and Vice Chair of Research of Obstetrics and Gynecology, and Hendree Jones, the newly appointed Executive Director of Horizons, gave a report.

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

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

INNOVATION & IMPACT COMMITTEE

Dr. Clay, Committee Chair, reported the areas that have been assigned to the committee: research, entrepreneurship, technology transfer licensing and economic development. The Innovation Roadmap highlights some of challenges we face in this area. Research funding continues to be a challenge. Finally, industrial relations- we have an opportunity to expand our industrial relations and we are looking for ways to maximize those opportunities. The committee also discussed the importance of the upcoming campaign and the role it will play in

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making/keeping UNC a leader in research and innovation. The committee closed with a discussion on the infrastructure needed for innovation to happen.

The following items were presented to the committee, for information only (no formal action was requested at that time), but were not reported at the Full Board meeting.

- **Remarks from the Vice Chancellor of Research.**

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

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

- **Remarks from the Special Assistant to the Chancellor for Innovation and Entrepreneurship.**

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

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

MOTION TO CONVENE IN CLOSED SESSION

On motion of Secretary Shuping-Russell, and duly seconded, the Board voted to convene in closed session pursuant to North Carolina General Statutes Section 143-318.11 (a) (1) (to prevent the disclosure of privileged information under Section 126-22 and the following); and also pursuant to Section 143-318.11 (a) (2), (3), (5), and (6).

CLOSED SESSION

REPORT OF THE FINANCE & INFRASTRUCTURE COMMITTEE

Report of the Naming Committee

Dr. Lerner, Committee Chair, presented naming recommendations which were previously presented to the Finance & Infrastructure Committee and approved by the committee. [A copy of the Report of the Naming Committee is filed in the Office of the Assistant Secretary.]

Dr. Lerner moved ratification by the Board of the naming recommendations. The motion carried.

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

Mr. Gardner, Committee Chair, presented the personnel and salary approvals dated July 15, 2013, for the Board's consideration. The actions will be voted on in open session.

(ATTACHMENTS R-S-T)

LEGAL ADVICE

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

DEEP CLOSED SESSION

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

RECONVENE MEETING IN OPEN SESSION

Chair Caudill reconvened the meeting in open session.

OPEN SESSION

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

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Mr. Gardner, Committee Chair, moved approval by the Board of the following personnel actions dated July 15, 2013, which were discussed earlier in closed session. The motion was duly seconded and it carried.

- Personnel Actions and Actions Conferring Tenure.
(ATTACHMENT R)
- Compensation Actions.
(ATTACHMENT S)
- For Information.
(ATTACHMENT T)

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

ADJOURNMENT

There being no further business to come before the Board, Chair Caudill adjourned the meeting at 1:06 p.m.


Assistant Secretary

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

The Board of Trustees met in regular session on Thursday, September 26, 2013, at The Carolina Inn, Chancellor Ballroom, at 8:00 a.m. Chair Caudill presided.

ROLL CALL

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

W. Lowry Caudill, Chair	Charles G. Duckett
J. Alston Gardner, Vice Chair	Peter T. Grauer
Sallie Shuping-Russell, Secretary	Kelly Matthews Hopkins
Jefferson W. Brown	Steven J. Lerner
Phillip L. Clay	Dwight D. Stone
Haywood D. Cochrane, Jr	Christy Lambden
Donald Williams Curtis	

Chair Caudill opened the meeting by reading the following statement regarding the State Government Ethics Act:

"As Chair of the Board of Trustees, it is my responsibility to remind all members of the Board of their duty under the State Government Ethics Act to avoid conflicts of interest and appearances of conflict of interest as required by this Act. Each member has received the agenda and related information for this Board of Trustees' meeting. If any Board member knows of any conflict of interest or appearance of conflict with respect to any matter coming before the Board of Trustees at this meeting, the conflict or appearance of conflict should be identified at this time."

CONSENT AGENDA

Approval of Minutes

On motion of Mr. Lambden, and duly seconded, the minutes of the regular meeting of July 25, 2013, were approved as distributed.

Ratification of Mail Ballots

On motion of Mr. Lambden, and duly seconded the following mail ballots dated August 8, August 21 and August 31, were approved as distributed:

- Personnel actions and actions conferring tenure, compensation actions, and items for information.
- Election of Members to the Board of Trustees of the Endowment Fund and the Board of Directors of the University of North Carolina at Chapel Hill Foundation, Inc.

(ATTACHMENT A)

CHAIR'S REMARKS

Chair Caudill began his remarks by discussing the Board's four goals for the year; 1. Ensuring a smooth and effective transition for Chancellor Folt; 2. Building stronger relationships with key external constituencies; 3. Creating a sustainable approach to Enterprise Risk Management; 4. Mature and consolidate the university's work on innovation and entrepreneurship.

Dr. Caudill noted that both of the Board of Trustees task forces have held preliminary organizational meetings. Vice Chair Gardner leads the External Relations Task Force and Board Secretary Shuping-Russell chairs the Enterprise Risk Management Task Force.

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He expressed gratitude for Trustee Garner and the administration's work on the comprehensive orientation program for new trustees. The new Trustees have gotten off to a great start as new board members.

Chair Caudill made note of the recent national recognition of Carolina as the 5th best public universities in the US for the 13th consecutive year. Other highlights from the rankings: Carolina was 1st among national public universities for the 9th consecutive year and 17th overall in "Great Schools, Great Prices," based on academic quality and net cost of attendance. He noted that the criteria for these kinds of rankings are often debated, but prospective students, parents and our own alumni do pay attention to these rankings. Congratulations to all at Carolina. This is clearly a team effort.

He announced the upcoming installation events on University Day, October 12. He encouraged all the trustees to join in the festivities and to appeal to the entire Carolina family to show strong support for Chancellor Folt. The installation is just one part of four days of compelling events including faculty led panels on innovation, the future of the public research university and the campus theme of "Water in our World;" a free concert on Friday evening at Memorial Hall and the ceremony on Polk Place on Saturday. Events will end on Sunday with "Folt Fest" a student's-only celebration.

Chair Caudill concluded his remarks by mentioning that he and Chancellor Folt will be available after the break at 10 am to take questions from the media.

[Copies of Chair Caudill's remarks are located in the Office of the Assistant Secretary.]

STUDENT BODY PRESIDENT'S REMARKS

Mr. Lambden commented that the last two months has seen the return of the student population and the start of the class of 2017. Much of the focus from Student Government has been engaging students and trying to promote involvement in student issues. There are over 400 students involved in Student government.

He noted again the three priority areas for the year: Affordability, Academics and Safety. There is great concern amongst students about legislatively mandated 12.3% out-of-state tuition increases for next academic year and its effect on financial aid. He encouraged the Board and the administration to find a way to match the gap created in financial aid from this tuition increase so that we can maintain our existing policy of meeting full financial need and being need-blind in the admissions process.

Student government has continued to evaluate the effects of General Administration's policy to standardize the Drop/Add period for all system campuses effective in the fall of 2014. Initial research indicates that the new Drop/Add period will be shorter than many of our peers. Student government is working with the Provost's office on what the effects of a W on a transcript may be for graduate school admissions.

Finally, since returning to campus Mr. Lambden has focus on trying to engage students around the issue of sexual assault. He hosted a forum earlier in the week and sent a campus-wide email to students relaying the changes that the University has implemented over the last eight months.

[Copies of Mr. Lambden's remarks are located in the Office of the Assistant Secretary.]

CHANCELLOR'S REMARKS

Chancellor Folt began her remarks by thanking the Board for their support. She noted that she is in her 88th day. She also noted Leroy Lail in the audience who will be serving as the official liaison from the Board of Governors. She stated that innovation and creativity are alive at Carolina. The culture that makes this place open to change is thriving as well. She discussed her pride and belief in the origins of purpose of our first state university. What she has focused on in her first few months here is on gaining awareness, building connections and relationships.

The leadership team recently wrapped up a retreat and there were five imperatives to come out of that work: 1) One UNC – cross entity collaboration on campus and across the system; 2) Strategy process development; 3) Commitment to Public Service; 4) Sustainability – keeping the institution strong despite budget cuts; 5) Communication strategies and spreading our knowledge.

She listed the numerous outreach visits she has taken to areas like Charlotte, Asheville, Atlanta, Washington DC with trips planned to Wilmington and Greensboro. She has hosted GAA events, lead a discussion of incoming freshman for the reading program, visited 10 schools along with Provost Dean and various other activities. She has focused on important issues like campus safety and working on getting leadership positions named like the Vice Chancellor for Development later today, moving forward the Vice Chancellor for Communications search and beginning the search for the Vice Chancellor for Finance & Administration.

She is looking forward to an engaging and energizing installation weekend to celebrate the 220th birthday of The University of North Carolina at Chapel Hill.

GILLINGS SCHOOL OF PUBLIC HEALTH

Dean Barbara Rimer presented to the Board about the scholarship and services being performed at the Gillings School of Public Health. The school is 2nd ranked only to Johns Hopkins and the second largest school on campus. It has dual degree programs, 425 graduates per year and an 85% success rate in the job market. She outlined the 2020 strategic plan initiative and the impact of the Gillings gift. The board asked about her biggest concern as Dean and she discussed competition from other prominent universities, retention challenges and resources.

LINEBERGER COMPREHENSIVE CANCER CENTER

Shelley Earp, Director of the Lineberger Comprehensive Cancer Center spoke about impact that the Cancer center has provided to the University and the state of North Carolina. The research being performed at the Center is transforming the way we think and learn about cancer as well as positively affecting the treatment of patients with the disease. One of the benefits of having such a center at a research university is that not only medical and graduates student but undergraduate students can work and learn in the labs. There are 335 faculty and \$224 million in research being performed at Lineberger. The imaging Research Building, University Cancer Research Fund and the NC Cancer Hospital have combined to double the number of cancer patients served. The multidisciplinary approach is unique. The three primary goals are to impact NC cancer outcomes, research cancer genetic genomes and develop new drugs and treatments. He noted the recent cut in appropriation of the UCRF is concerning. The state gets a 4:1 dollar realization from that investment, creating over 5,000 jobs.

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Dr. Earp will be retiring as Center director but will remain here at Carolina doing his research. Ned Sharpless and Lisa Carey will be taking the helm at LCCC soon. The Board thanked Dr. Earp for his service and commitment to Carolina.

SCIENTISTS WITH STORIES

Dr. Steve Matson, Dean of the Graduate School introduced Clare Fiesler, PhD student who presented her research "Scientists with Stories." Dr. Matson noted that she is getting national attention for enhancing how science students work and get their message out. Ms. Fiesler recently met with Chancellor Folt who was so impressed with her research that she wanted the Board to be informed. Ms. Fiesler described difficulties that some scientists have in communicating their research. Her program seeks to remove that gap by training graduate students how to share their work through storytelling. She is currently working with the National Science Foundation to scale up her project to other prominent institutions. She talked about the level of support she receives from the Carolina community – the "Carolina Embrace."

A copy of the PowerPoint presentations for the three speakers are located at: <http://www.unc.edu/depts/trustees/>
A copy of the presentations are also filed in the Office of the Assistant Secretary.

2012-2013 ACC GOVERNING BOARD CERTIFICATION FORM

The 2012-2013 Atlantic Coast Conference Governing Board Certification Form, which is required to be completed annually by the Chair of the Governing Board in order for a member institution to enter a team or individual competitors in an ACC Championship as indicated in Article XIII-2 of the ACC Bylaws.

Ms. Shuping-Russell moved approval of the ACC Form. The motion was duly seconded and it carried. In signing the form, Chair Caudill attested the following:

- 1) Responsibility for the administration of the athletics program has been delegated to the Chief Executive Officer of the Institution.
- 2) The Chief Executive Officer has the mandate and support of the Board to operate a program of integrity in full compliance with NCAA, ACC and all other relevant rules and regulations.
- 3) The Chief Executive Officer, in consultation with the Faculty Representative and the Director of Athletics, determines how the institutional vote shall be cast on issues of athletic policy presented to the NCAA and the ACC.

(ATTACHMENT B)

REPORT OF THE FINANCE & INFRASTRUCTURE COMMITTEE

Dr. Lerner, committee chair, presented the report. He first thanked Vice Chancellor for Finance and Administration Karol Gray for her service to the University and called on Secretary Shuping-Russell to read the following resolution:

**RESOLUTION OF APPRECIATION FOR
VICE CHANCELLOR FOR FINANCE AND ADMINISTRATION
KAROL KAIN GRAY**

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WHEREAS, Karol Kain Gray has served as vice chancellor for finance and administration, the University's principal finance and business officer, since December 2011;

WHEREAS, Vice Chancellor Gray led the division of Finance and Administration through a reorganization that significantly improved collaboration and operational efficiency; delineated new financial resources; and strengthened the campus information technology area by integrating systems across campus, all during a period of reduced staff and capacity;

WHEREAS, Vice Chancellor Gray, through her service on the UNC Health Care Board, helped link the Health Care System's financial issues to the wider context of the University, bringing an understanding of the financial structure and the research and education needs of the Health Care System into her role at the University;

WHEREAS, Vice Chancellor Gray engaged everyone in her division, from the groundskeepers to the associate vice chancellors, to be part of her team and was a consummate collaborator, ready to tackle difficult issues honestly and openly, always looking for solutions that reflect the best about Carolina;

WHEREAS, Vice Chancellor Gray was a talented and consummate professional, bringing vision, financial acumen, and shrewd strategic management skills to her assistance to the Board of Trustees through a time of new leadership and transition;

NOW THEREFORE BE IT RESOLVED that members of the Board of Trustees of the University of North Carolina at Chapel Hill express their appreciation for Vice Chancellor Gray's outstanding service and wish her the very best in her future endeavors.

Upon motion from Dr. Lerner and a second from Mr. Grauer, the Board unanimously approved the resolution.

Lerner thanked the Sierra Student Coalition for their presentation to the committee. He commended UNC's audit work and said that UNC for the 18th consecutive year has received the highest recognition for excellence in financial reporting. Lerner talked about cuts in the 2013-14 budget and said total cuts are 32.7% of where the University was seven years ago. The University faces \$717 million in deferred maintenance.

Dr. Lerner moved ratification by the Board of the following seven items, which were brought forth as a motion formerly approved by the committee. The motion was seconded and each item carried.

- Self-Liquidation Debt Discussion and Resolution (ATTACHMENT C)
- 2013-2014 Risk Assessment & Audit Plan for Approval (ATTACHMENT D)
- Quasi-Endowment Withdrawal (ATTACHMENT E)

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- Designer Selection, 208 West Franklin Street Renovation (ATTACHMENT F)
- Site Selections, UNC Hospitals Perioperative Tower (ATTACHMENT G)
- Power Generation and Chiller Plan Additions (ATTACHMENT H)
- Property Dispositions, Easement to the Town of Chapel Hill (ATTACHMENT I)

UNIVERSITY AFFAIRS COMMITTEE

Mr. Gardner, committee chair, provided the following summary of the committee meeting that were shared for information only.

- Vice Chancellor Winston Crisp talked about the sexual assault task force.
- Faculty Chair Jan Boxill talked about Honor System reforms, efforts to retain top faculty and effects on the proposed changes to the drop/add policy. Gardner encourages trustees to raise the issue with General Administration.
- Employee Forum Chair Charles Streeter brought several employees to the committee to be recognized for their efforts in clean-up work after the July floods.
- Karen Gil, dean of the College of Arts and Sciences, and Lynn Williford, assistant provost for Institutional Research and Assessment, gave results of a survey to graduates.
- Members of student congress talked about how they allocate funds to student organizations.

EXTERNAL RELATIONS COMMITTEE

Mr. Curtis, committee chair, provided the following summary of the committee meeting that were shared for information only.

- John Montgomery, Executive Director of Education Foundation and Senior Associate Athletic Director, gave an overview of the Educational Foundation, which raises money for all athletic scholarships. 329 of 850 student-athletes qualified for All-ACC honors.
- Linda Douglas, Director of Community Relations, presented on the Board of Visitors and explained how they would like to be involved at the University.
- Linda Convisser, Director of Local Relations, talked about town/gown relations and our continued efforts to strengthen local relationships.

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

INNOVATION & IMPACT COMMITTEE

Dr. Clay, committee chair, presented the following items that were shared for the committee as information only.

Clay shared a few highlights from Joe DeSimone's presentation, including the following:

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- UNC ranks both at the top and bottom of research rankings depending on the indicators
- Growing concentration of research dollars
- Need to find additional sources of revenue
- Research converges on the life sciences, engineering and physical sciences
- UNC and UC-San Francisco are the only two schools in the top 20 research schools without engineering schools
- Urgent need to enhance collaboration among schools with engineering programs
- Need to find a better way to support faculty
- UNC generates fewer patents than our peers
- UNC is developing a concierge service to increase the number of patents
- Need to infuse processes—strategic planning – and understand bottlenecks to our shortcomings.
- There's a survey about research underway with faculty
- Upcoming meetings will look deeper at our research peers
- The committee will present their findings of how UNC is doing relative to others in the spring.

MOTION TO CONVENE IN CLOSED SESSION

On motion of Secretary Shuping-Russell, and duly seconded, the Board voted to convene in closed session pursuant to North Carolina General Statutes Section 143-318.11 (a) (1) (to prevent the disclosure of privileged information under Section 126-22 and the following); and also pursuant to Section 143-318.11 (a) (2), (3), (5), and (6).

CLOSED SESSION

REPORT OF THE FINANCE & INFRASTRUCTURE COMMITTEE

Report of the Naming Committee

Dr. Lerner, Committee Chair, presented naming recommendations which were previously presented to the Finance & Infrastructure Committee and approved by the committee. [A copy of the Report of the Naming Committee is filed in the Office of the Assistant Secretary.]

Dr. Lerner moved ratification by the Board of the naming recommendations. The motion carried.

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

Mr. Gardner, Committee Chair, presented the personnel and salary approvals dated July 15, 2013, for the Board's consideration. The actions will be voted on in open session.
(ATTACHMENTS J-K-S)

LEGAL ADVICE

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

DEEP CLOSED SESSION

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

RECONVENE MEETING IN OPEN SESSION

Chair Caudill reconvened the meeting in open session.

OPEN SESSION

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

Mr. Gardner, Committee Chair, moved approval by the Board of the following personnel actions dated July 15, 2013, which were discussed earlier in closed session. The motion was duly seconded and it carried.

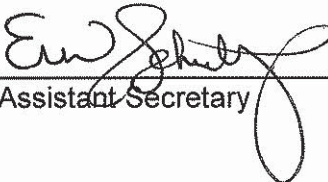
- Personnel Actions and Actions Conferring Tenure.
(ATTACHMENT J)
- Compensation Actions.
(ATTACHMENT K)
- For Information.
(ATTACHMENT S)

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

Chancellor Folt announced the appointment of Mr. David Routh as Vice Chancellor for Development.

ADJOURNMENT

There being no further business to come before the Board, Chair Caudill adjourned the meeting at 1:06 p.m.



Assistant Secretary

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

The Board of Trustees met in regular session on Thursday, November 21, 2013, at The Carolina Inn, Hill Ballroom, North & Central, at 8:03 a.m. Chair Caudill presided.

ROLL CALL

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

W. Lowry Caudill, Chair	Donald Williams Curtis
J. Alston Gardner, Vice Chair	Charles G. Duckett
Sallie Shuping-Russell, Secretary	Kelly Matthews Hopkins
Jefferson W. Brown	Steven J. Lerner
Phillip L. Clay	Dwight D. Stone
W. Lowry Caudill	Christopher David McCartney Lambden
Haywood D. Cochrane	

Chair Caudill read the following statement regarding the State Government Ethics Act:
"As Chair of the Board of Trustees, it is my responsibility to remind all members of the Board of their duty under the State Government Ethics Act to avoid conflicts of interest and appearances of conflict of interest as required by this Act. Each member has received the agenda and related information for this Board of Trustees' meeting. If any Board member knows of any conflict of interest or appearance of conflict with respect to any matter coming before the Board of Trustees at this meeting, the conflict or appearance of conflict should be identified at this time."

CONSENT AGENDA

Approval of Minutes and Mail Ballots

On motion of Mr. Stone and duly seconded, the minutes of the meeting of September 23, 2013, were approved as distributed; as was the ratification of mail ballots dated October 17 and November 4, 2013.

(ATTACHMENT A)

CHAIR'S REMARKS

Chair Caudill then commented on the following:

- **William Richardson Davie Awards Dinner.** The trustees attended the William Richardson Davie Award Dinner last evening. This award is the highest honor the Board of Trustees can bestow for extraordinary service to the University or to society. The honorees included David Frey of Grand Rapids, Michigan; Karol Mason of Washington, DC; Dr. Hugh "Chip" McAllister Jr. of Houston, Texas; and Roger Perry of Chapel Hill, NC. Special acknowledgements were made to Trustees Curtis, Gardner, Shuping Russell and Clay for their help in introducing these honorees.
- **UNC System Board of Trustees Orientation and Training.** Recently, UNC President Tom Ross and Board of Governors' Chair Peter Hans convened the trustees from all 17 system campuses at the Hunt Library at NCSU for a day of orientation and training. The day provided a wonderful opportunity to network with our colleagues and to see first-hand what the leadership at other institutions are doing to advance public higher education.

- **Vice Chancellor Search Committees.** Chair Caudill expressed the board's appreciation to Trustee Steve Lerner for serving as co-chair of the committee that successfully complete the search that selected Joel Curran as the new vice chancellor for communications and public affairs. The board looks forward to welcoming Mr. Curran during the January 2014 meeting.
- **Chancellor Folt's Leadership Transition.** Chair Caudill praised Chancellor Folt's ongoing progress with the leadership transition, noting the recent appointments of Vice Chancellor Curran, Vice Chancellor Routh and Provost Dean. He went on to congratulate her on the historic University Day weekend which feature Chancellor Folt's inauguration.

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

Sallie Shuping-Russell presents a resolution acknowledging Vice Chancellor Brenda Malone's service to UNC. Ms. Malone is resigning from her position as vice chancellor for human resources in December 2013.

**RESOLUTION OF APPRECIATION FOR
VICE CHANCELLOR FOR HUMAN RESOURCES
BRENDA RICHARDSON MALONE**

WHEREAS, Brenda Richardson Malone has served as vice chancellor for human resources since 2007, bringing a wealth of experience in that field and labor relations to her responsibilities at the University of North Carolina;

WHEREAS, Vice Chancellor Malone addressed a variety of workforce-related issues in her tenure, including multiple-year state budget cuts, the Bain & Company operational efficiency study, and a new organizational structure for the delivery of human resource services across campus;

WHEREAS, Vice Chancellor Malone led the effort to make major improvements in Housekeeping Services; and re-designed supervisory and leadership development programs, including the University Leadership Education and Development Program (ULEAD) for emerging leaders and a new supervisory development program;

WHEREAS, Vice Chancellor Malone recently assumed additional duties as interim director of the Equal Opportunity/ADA Office; and then led the University's efforts to hire a new Title IX Compliance Coordinator and helped develop plans to create two positions in this key area;

WHEREAS, Vice Chancellor Malone helped the Trustees to be more effective by her thorough explanation of critical issues, creative approaches to new challenges and invaluable historical memory;

NOW THEREFORE BE IT RESOLVED that members of the Board of Trustees of the University of North Carolina at Chapel Hill express their great appreciation for Vice Chancellor Malone's outstanding service and wish her the very best in her new endeavors at Georgetown University.

Trustee Clay made the motion to approve the resolution; Trustee Lambden seconded, and all present rose to applaud Ms. Malone.

STUDENT BODY PRESIDENT'S REMARKS

Mr. Lambden spoke about:

- Update on the Title IX Task Force
- Proposed tuition and fee increases, including an urging of the Board of Trustees to work to repeal the legislatively mandated 12.3% tuition increase for non-resident students in 2014-2015.
- Continued disappointment in the drop/add policy from the UNC Board of Governors
[A copy of Mr. Lambden's remarks is located in the Office of the Assistant Secretary.]

CHANCELLOR'S REMARKS

Chancellor Folt spoke about the following:

- Thanked everyone for a wonderful University Day installation weekend.
- Acknowledged the trustees for their continued support.
- Thanked Student Body President Christy Lambden and Vice Chancellor for Student Affairs Winston Crisp for the many student introductions they have arranged; the General Alumni Association for the great outreach events she has attended; and the senior leadership and faculty advisory groups for their advice and commitment.
- Acknowledged that Coach Dean Smith was being presented the Presidential Medal of Honor this very day and thanked him for his exceptional leadership at Carolina over the last 50 years.
- Welcomed new vice chancellors David Routh and Joel Curran.
- Expressed her gratitude to Brenda Malone.
- Acknowledged the work of the development and communications staff for maintaining such excellence through the transition.
- Mentioned her participation at the recent meetings of the APLU and AAU.
- Acknowledged Vice Chancellor for Research Barbara Entwisle for the quality of research being performed here at Carolina and helping to address funding issues that are at the forefront of our successes.
- Access and affordability are also important issues for our campus. High school advisors are encouraging their student's interest in college in many of North Carolina's rural communities. Steve Farmer and Shirley Ort are working very hard to support those advisors and assist interested students in achieving the goal of a college education.
- Carolina has a 3-prong commitment to the campus community and the state: excellence, public service, and access/affordability.
- Encouraged everyone to read the highlights on the UNC webpage daily; there are amazing things happening here. She mentioned that she wanted to know how many research papers and books had been published since July 1, 2013 by members of our students, staff or faculty.

TUITION AND FEES PROPOSALS

Trustee Shuping-Russell called upon Jim Dean, Executive Vice Chancellor and Provost, to present recommendations from the tuition and fees advisory task force. Based on the deliberations of the Task Force, the proposed 2014-2015 tuition increase is as follows:

- Resident Undergraduate- \$0 under the guidance from UNC General Administration
- Non-Resident Undergraduate- \$3,469, a statutory increase equaling 12.3%
- Resident Graduate- \$350, a 4.2% increase
- Non-Resident Graduate- \$350, a 1.4% increase

School-based tuition increases will be implemented in a number of schools and there are no prohibitions imposed by the Board of Governors. Provost Dean concluded his remarks by explaining the decision to add a night-time parking fee to all students (except freshman) of \$10.40. This fee assessment was approved by the student government, as opposed to charging only those who parked \$277 a year in fees.

Recent discussions have included the possibility of retaining part of our tuition. At the present time, all the tuition funds go directly to the NC Treasurer for disbursement by the state legislature. We must work diligently to have undergraduate tuition regulations changed to ensure faculty retention and to supplement the \$4.6 million dollars it will take to balance the 12.3% non-resident undergraduate tuition increase for those receiving student aid. Currently the tuition at Carolina is in the 25 percentile range of our peer institutions and we would like for it to stay there.

Trustee Shuping-Russell was a member of the committee that reviewed and designed the 5-year tuition plan. It is clear to her that the plan is in need of revisions.

Shuping-Russell moved to approve the tuition and fees proposal as set forth by the Tuition Task Force Advisory. The motion was duly seconded and it carried.

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

CAROLINA BEATS

As part of Chancellor Folt's plan to highlight the amazing innovations that are impacting our campus and the state, she introduces Mark Katz, professor and chair of the department of music as well as adjunct professor in the Department of Communication Studies in the College of Arts and Sciences. In 2011 he received an Innovation Grant from our Institute for the Arts and Humanities to expand the scope and reach of how we teach music on our campus. One result of this grant was the creation of a new course, "Beat Making Lab," which is the focus of his presentation.

Professor Katz stated that most musicians cannot read music, although classical notation is required in Carolina's music program. The Carolina Beats Academy was designed to bring music education to ALL students. The lab for Carolina Beats is located in the basement of the US Post Office on Franklin Street. He then played a video highlighting the growth of this idea. The innovation has expanded internationally to include Congo Beats and Carolina Beats programming is being supported by Public Broadcasting Systems (PBS). The program teaches the students innovation through what the program has brought to the students and uses music to teach entrepreneurship and conflict resolution with emphasis on professionalism and resourcefulness. It also provides social engagement, collaborations, and connections to local and international communities while encouraging peaceful self-expression. Dr. Katz was awarded a \$1 million grant for the advancement of his music research. For more information on Carolina Beats go to www.beatmakinglab.com.

[A copy of Professor Katz's presentation is available at www.unc.edu/trustees/]

Chairman Caudill asked that the committee take a 15-minute break before hearing from the next guests. At this time, the Chancellor and Chairman of the Board were available to the media for comment.

CAMPUS Y AND TEDxUNC

Vice Chancellor Winston Crisp introduced Cora Went and Natalie Borrego, co-chairs of the Campus Y who provided a brief overview of the activities supported by the Campus Y Center for Social Justice. The Campus Y is one of over 700 student organizations on our campus and has achieved 150 years of service. The organization has 30 student-led local and global committees, 14 of which are anchored in the Chapel Hill/Carrboro area; as well as 12 community partners for the Bonner Leaders Program. The primary objectives of the organization:

- Serving the State of North Carolina
- Developing Student Capacity
- Converging Approaches and Disciplines

They are committed to upholding the university's legacy as the first public institution, complementing breadth and depth with practice, and taking interdisciplinary approaches to the world's greatest challenges.

[A copy of the presentation is available at www.unc.edu/trustees]

Vice Chancellor Winston Crisp then introduced the student representatives from TEDxUNC. Chex Yu, Julia Ramos and Cameron Kneib provided the committee with an introduction to TEDxUNC, a student-organized TED event. The annual conference brings innovative speakers from across the University and larger community to explore ideas for the future. Next semester will mark the third year of the conference. TED events seek to spread innovative ideas in technology, entertainment and design "from music to science, from art to activism." Recently, 1400 tickets to the event sold out in 17 minutes.

[A copy of the presentation is available at www.unc.edu/trustees]

The trustees expressed their appreciation for the great work being done by other these student organizations.

INNOVATION IN THE SCHOOL OF NURSING

Dr. Cheryl Jones introduces Dr. Cheryl Giscombe from the School of Nursing who has been studying the impact of "superwoman schema" and how incredible stress leads to declining health and increased risks like obesity and diabetes, especially among black women. Dr. Giscombe is a graduate of the NC School of Science and Math with a BA from NC Central University and her masters from Carolina. She also received her BSN at Stony Brook University as well as her MA and PhD degrees in social and health psychology. She has successfully bridged the disciplines of psychology and nursing. Among her many awards, Dr. Giscombe was among 12 faculty nationwide selected as Robert Wood Johnson Foundation Nurse Faculty Scholars.

Dr. Giscombe grew up in Roxboro, NC where her father worked as a dentist with under-served populations. Public service has always been important to her and something she has participated in throughout her education. Her research began with health disparities and stress effects on low birth weights. She soon discovered that low birth weights among black women are related more to stress as opposed to race. The superwoman schema involves commitment to succeed, be undaunted, put others needs ahead of our own, and suppress emotions. Her research is helping to develop culturally relevant interventions to reduce the health risks among these women.

Chairman Caudill thanked both Professor Katz and Dr. Giscombe for their impressive innovative research.

REPORT OF THE FINANCE AND INFRASTRUCTURE COMMITTEE

Trustee Shuping-Russell presented the report from the Finance and Infrastructure Committee. The items requiring action by the board on property acquisitions and dispositions, and the annual endowment fund report were reviewed. A motion to approve these items was made by Trustee Russell, seconded by Trustee Clay, and the action carried. Ms. Russell then briefly reviewed the information only items presented at the committee meeting (please refer to the Finance & Infrastructure Committee minutes dated November 20, 2013).

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

Trustee Gardner, committee chair, presented the report from the University Affairs Committee that included remarks from the vice chancellor for student affairs, faculty chair, Employee Forum chair, GPSF president, and the provost. Steve Farmer, Vice Provost for Enrollment and Undergraduate Admissions made a presentation to the committee covering the Price Study on tuition. Mr. Gardner stated that the study analysis included tuition cost impact on enrollment decisions. UNC wants the best North Carolina has to offer to both resident and non-resident students, as well as the availability of financial aid. Tuition costs impacts the quality of our students our faculty. Price provided great research with which we can ground our tuition decisions moving forward.

Matt Brody, Associate Vice Chancellor for Human Resources and Dwayne Pinkney, Vice Provost for Finance and Academic Planning also appeared before the University Affairs Committee to review the UNC-Chapel Hill Annual Management Flexibility Survey/Report which is presented to UNC System General Administration. The report consists of 235 pages of summary regarding personnel actions in response to the Board of Governors' agreement with UNC on "management flexibility to appoint and fix compensation."

REPORT OF THE EXTERNAL RELATIONS COMMITTEE

Committee Chair Donald Curtis presented the report from the External Relations Committee. Mr. Todd Boyette, Director of the Morehead Planetarium and Science Center provided highlights on the goals and achievements of the Center which was very impressive. A copy of the presentation is available at www.unc.edu/trustees.

The fundraising report was presented by David Routh, Vice Chancellor for Development. Details of that report are available in the committee minutes of November 20, 2013 and at www.unc.edu/trustees.

The action items regarding Distinguished Alumni Awards and Honorary Degrees will be reviewed during the board's closed session.

REPORT FROM THE COMMITTEE ON INNOVATION AND IMPACT

The agenda for this committee was centered on commercialization at UNC-Chapel Hill. Chair Phil Clay briefed the board with the following highlights:

- Commercialization Task Force Survey Results
 - Faculty is deeply committed to using their research to solve problems.
 - Major concerns are time constraints and the lack of resources for making the leap to commercializing.
 - Realizing rewards for their work.

Rather than there being a lack of resources, it was determined that faculty members are unaware of campus resources and how to access them. The benefit to society and personal financial conditions are clear motivators for the commercialization of campus research and innovations. More detail may be found in the committee minutes dated November 20, 2013.

In January, the committee will focus on industrial relations. There were no action items to be reviewed by the board.

MOTION TO CONVENE IN CLOSED SESSION

On motion of Secretary Shuping-Russell, and duly seconded, the Board voted to convene in closed session pursuant to North Carolina General Statutes Section 143-318.11 (a) (1) (to prevent the disclosure of privileged information under Section 126-22 and the following); and also pursuant to Section 143-318.11 (a) (2), (3), (5), and (6).

CLOSED SESSION

REPORT OF THE EXTERNAL RELATIONS COMMITTEE

Report of the Committee on Honorary Degrees & Special Awards

Committee Chair Donald Curtis moved approval of the nominees for Distinguished Alumna/Alumnus Awards to be presented on University Day, October 12, 2014. All nominees were previously presented and approved by the committee. The motion was seconded and it carried. [A copy of the Report of the Committee on Honorary Degrees & Special Awards is filed in the Office of the Assistant Secretary.]

Curtis moved approval of the nominees for Honorary Degrees presented by the Faculty Council which included the May 2014 commencement speaker. These awards will all be made during commencement. The motion was seconded and it carried. [A copy of the nomination letter is filed with the Office of the Assistant Secretary.]

Honorary Degree Candidate Selection

David Routh discussed the call for an Honorary Degree to be conferred at May Commencement 2015. In consideration of the recent transitions, the board agreed to allow consideration of this item at the January 2014 meeting.

LEGAL ADVICE

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

DEEP CLOSED SESSION

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

RECONVENE MEETING IN OPEN SESSION

Chair Caudill reconvened the meeting in open session.

OPEN SESSION

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE


Committee Chair Alston Gardner referred the members to the personnel matters submitted for review. A motion to approve the actions came from Trustee Stone, was seconded by Trustee Lerner, and passed.

(ATTACHMENT B)

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

ADJOURNMENT

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


Erin Schuetzpelz, Assistant Secretary

BOARD OF TRUSTEES MEETING
The University of North Carolina at Chapel Hill
January 23, 2014

The Board of Trustees met in regular session on Thursday, January 23, 2014 at The Carolina Inn, Chancellor's Ballroom East & West. Chair Caudill presided and convened the meeting at 8:02 a.m.

ROLL CALL

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

W. Lowry Caudill, Chair	Donald Williams Curtis
J. Alston Gardner, Vice Chair	Charles G. Duckett
Sallie Shuping-Russell, Secretary	Kelly Matthews Hopkins
Jefferson W. Brown	Steven J. Lerner
Haywood D. Cochrane	Dwight D. Stone
	Christopher David McCartney Lambden

Chair Caudill read the following statement regarding the State Government Ethics Act:
"As Chair of the Board of Trustees, it is my responsibility to remind all members of the Board of their duty under the State Government Ethics Act to avoid conflicts of interest and appearances of conflict of interest as required by this Act. Each member has received the agenda and related information for this Board of Trustees' meeting. If any Board member knows of any conflict of interest or appearance of conflict with respect to any matter coming before the Board of Trustees at this meeting, the conflict or appearance of conflict should be identified at this time."

CONSENT AGENDA

Approval of Minutes and Mail Ballots

On motion of Mr. Lerner and duly seconded by Mr. Stone, the minutes of the meeting of November 2013 were approved as distributed; as was the ratification of mail ballots dated December 12, 2013 and December 17, 2013.

(ATTACHMENT A)

Sallie Shuping-Russell, BOT Secretary, reads a resolution acknowledging Erin Culbreth Schuettepelz's service to UNC. Ms. Schuettepelz is resigning from her position as Chancellor's Chief of Staff effective February 2014.

**RESOLUTION OF APPRECIATION
FOR ERIN C. SCHUETTEPELZ**

WHEREAS, Erin C. Schuettepelz has served as Chief of Staff to the Chancellor and Assistant Secretary of the University's Board of Trustees since 2012, capping an impressive career serving the interests of the University of North Carolina system and the University of North Carolina at Chapel Hill;

WHEREAS, Ms. Schuettepelz served as director of state relations and communications, helping Carolina leaders understand the legislative world and legislators understand Carolina; and for

seven years before that as director of state government relations at the UNC system, though always remaining a true Tar Heel; and,

WHEREAS, Ms. Schuettpelz staffed the chancellor's search that resulted in the appointment of Carol Folt as the University's 12th chancellor; and skillfully managed operations through the transition to a new chancellor, provost and board chair, assuring a continuity of informed leadership for the University;

WHEREAS, Ms. Schuettpelz helped the Trustees to develop strong relationships with University administrators, faculty, staff and students; and provided critical counsel on numerous issues;

WHEREAS, Ms. Schuettpelz was recognized by the Graduate School with the 2012 Dean's Award for helping students communicate the importance of graduate education to the University and the state; and,

WHEREAS, Ms. Schuettpelz leaves to become Associate Provost for Operations at Washington University in St. Louis;

NOW, THEREFORE, BE IT RESOLVED THAT Members of the Board of Trustees of the University of North Carolina at Chapel Hill hereby express their deep gratitude and appreciation for her service to her alma mater and wish her the very best in her new endeavors.

Mr. Lerner presented the motion to approve this resolution, seconded by Mr. Lambden, and passed. The Board of Trustees and all others present rose to applaud Ms. Schuettpelz.

CHAIR'S REMARKS

Lowry Caudill, Chair presented the following remarks:

- Acknowledged Chancellor Folt's recent visit to the White House in a national leadership role with the Education Summit. Chancellor Folt, along with Chancellor Randy Woodson (NCSU) and President Carol Quillen (Davidson), attended the summit with their counterparts from across the country to discuss how to make college more accessible to students, especially those from low-income families.
- Tom Meyer has recently been collaborating with NCSU to develop a process which will convert solar energy to hydrogen, an innovation that will be of significant benefit to energy conservation and reduction in pollution. It also serves to recognize the importance of the new Department of Applied Physical Sciences in the College of Arts & Sciences.
- At the November 2013 meeting we heard a presentation on Carolina Beats. The Carolina Beats Academy and other speakers have been selected to present at The TEDx UNC conference on February 15, 2014.
- Acknowledged the Chancellor's recent hiring of Joel Curran, Vice Chancellor of Communications and Public Affairs, and Felicia Washington, Vice Chancellor for Workforce Strategy, Equity and Engagement. Joel Curran was introduced to all present. Ms. Washington will be joining the senior leadership team in February and assuming a new position that brings together the critical functions of human resources, EEO/ADA, and diversity.
- Reminded everyone of the four primary goals of the Board of Trustees for this year –

ensuring an effective transition for Chancellor Folt and new members of the senior leadership team; building strong relationships with our key external constituencies, creating a sustainable approach to Enterprise Risk Management for the university; and to concentrate on maturing and consolidating our work on innovation so that we can quantify and effectively communicate our impact on North Carolina and the larger world.

- Acknowledged the athletics and academic improvement that have been the focus of intense work by so many people on campus over the last three years. The Board is highly supportive of the work Carolina is doing to establish best practices that will strength academic rigor. We want to compete academically and athletically at the highest levels with utmost integrity.

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

REMARKS FROM THE STUDENT BODY PRESIDENT

Christopher Lambden remarked on the following:

- The student government's recent statement of support to the University with respect to the academic success of our student athletes
- Approval of the Education Policy Committee and the Faculty Council to ensure that the changes to the new drop/add policy will be grandfathered in and will not be implemented for students currently enrolled at Carolina
- Approval of the increase in the number of pass/fail hours were increased from 11 to 16
- The work of the sexual assault task force, specifically the pending final recommendations from the task force which no doubt reflect the needs and desires of our entire community
- The availability of affordable housing for students living off-campus, as well as a review and possible policy change in the town ordinance prohibiting more than four unrelated people from living in a single residence.
- Campaigns for student body president are already underway and the new SBP will likely be introduced to the Board at the March meeting.

[A copy of these remarks are on file in the Office of the Assistant Secretary]

CHANCELLOR'S REMARKS

Chancellor Folt spoke on the following:

- A brief summary of her first months as Chancellor
- Reflections on recent events taking place on campus
- Additions to the senior leadership team and updates
- Examples of the creativity of our students and faculty
- The ways our faculty research benefits North Carolinians through service in fields with applications the improve community health and education, health and disease monitoring, injury prevention programs, nutrition and disaster planning
- The importance of commercialization and entrepreneurial activity which increases revenues and creates employment

- The White House Summit and what we are doing at Carolina to help our students which includes doubling the size of the Chancellor's Science Scholars program; providing \$4M for campus initiatives to improve graduation rates for undergraduates and focusing on low-income, first-general and underrepresented students; and expanding the Carolina College Advising Corps by adding ten new advisors to reach new rural areas of North Carolina.
- Highlights from the Gillings School of Global Health Legislative Day
- A review of the Martin Luther King Jr. celebration events held throughout campus this week which included the University/Community Banquet and the keynote address presented by actor and author, Hill Harper.

The chancellor also took a moment to address the importance of balancing academics and athletics.

"As one of a select group of leading national research universities that also have highly competitive athletic programs, what happens at Chapel Hill is also of interest nationally. We accept and welcome that scrutiny, and see it as a tremendous opportunity. Although we don't have any evidence that anomalous courses were initiated in order to benefit athletes, close to half of those who did enroll were student-athletes. This was wrong, and not reflective of the standards we expect at this great University. All of those students deserved better from us. We also accept the fact there was a failure in academic oversight for years that permitted this to continue. This, too, was wrong and undermined our integrity and reputation, while creating an unhealthy environment of distrust."

Furthermore, she stated that "proceeding towards meaningful athletic and academic reform requires us to fully acknowledge and accept the lessons of our past. For us to move forward, we need to ensure everyone understands that we accept accountability, and have learned from this painful journey. We are already making significant changes in academic policies, procedures and practices that are making a real difference and are being validated by the Southern Association of Colleges and Schools Commission on Colleges."

She thanked everyone for their continued hard work in addressing these issues, especially those serving on the Student-Athlete Initiative Working Group.

Before closing, she briefly reviewed the entrepreneurship and innovation speakers invited to present at today's meeting. By highlighting this students and faculty in this forum, we hope to provide helpful and inspiring on-the-ground examples of the work and people we want to continue to thrive on our campus.

[The Chancellor's remarks are on file in the Office of the Assistant Secretary.]

STUDY ON ADOLESCENT HEALTH

As part of Chancellor Folt's plan to highlight the amazing innovations that are impacting our campus and the state, Vice Chancellor for Research Barbara Entwisle introduced Kathleen Harris, a distinguished professor in the Department of Sociology.

Professor Harris presented an overview of her research on adolescent health which has received \$70M of university support at the Carolina Population Center. The findings of her research affirmed the following:

- There is an importance of social connections for health and well-being across the life course;

- Transition from adolescence into early adulthood is a vulnerable period for health that sets trajectories into adulthood;
- We can map the obesity epidemic;
- Gene—Environment interplay in health and behavior;
- Young adult health is at risk.

This study helped to uncover early life precursors of health and disease before biological, social and financial costs escalate. The NIH Review of this Add Health Study released the following statement “a ‘National Treasure’ for the ...research community. The only major study to trace the broad spectrum of health issues over the early life course in combination with the evolving human capital, family, and environmental situations of youth.”

[A copy of Professor Harris' presentation is available at bot.unc.edu]

LIFE ON NASCAR

Dean Susan King of the School of Journalism and Mass Communications introduced Professor Dana McMahan and students, Laura Vroom, Katie McNulty, Cynthia Betubiza, Carolina Boese and Michelle Brandt who recently collaborated with FOX Sports on a marketing adventure for NASCAR. Professor McMahan explained that changing the world of communications includes competitiveness and learning to “pitch” using skills in advertising, design and entrepreneurship. A former journalism student and 2009 graduate (name) recently approached the School of Journalism regarding a unique collaboration. For the past few years, NASCAR has been trying to build its fan base to include a younger generation that will help to keep the sport relevant. This younger generation is referred to as “millennials” and includes our current student body population. Five students, coincidentally all women, joined Professor McMahan on this collaboration. They researched how the millennial generation communicates and developed a public relations and marketing plan to promote the NASCAR experience. The plan includes video, billboard holograms, and two promotional participation contests which result in winners attending NASCAR race events. This plan is one of ten that won the challenge and the team has now been invited to attend the upcoming Daytona 500.

[A copy of the presentation is available at bot.unc.edu]

INNOVATIVE AUTISM RESEARCH

Dr. Bill Roper, Vice Chancellor for Medical Affairs, Dean of the School of Medicine and President of the UNC Healthcare System introduced Professors Mark Zylka and Ben Philpott. Both these gentlemen are with the Department of Cell Biology and Physiology at the School of Medicine. Their research involves the discovery of a drug used to treat cancer which also can be used to treat autism through neuron inhibitors.

This impact of this research is significant in that 1 in 50 are diagnosed with autism, a condition which can be induced both genetically and chemically (environmental). There are many types of autism but their research focuses on Ube3a which is the most common form of autism. Further research has involved research other drug formulations that might have the same impact on neuron inhibitors. Since the focus genes are located in the synapses of the brain, more research to test the impact on the synapses and how drugs, pesticides, herbicides and fungicides affect these areas of the brain is needed.

UNC School of Medicine houses two of the twelve National Autism Centers. Through this

research, UNC has partnered with the National Angelman Syndrome Foundation to create the UNC Angelman Syndrome Clinic, the first in the United States. The clinic is currently seeing patients locally, nationally, and internationally. UNC is now ranked second worldwide for autism research and it is the goal of these researchers to help us become the leading institution in autism research.

Professors Zylka and Philpott entertained a few questions from the trustees.

[A copy of this presentation is available at bot.unc.edu]

REPORT OF THE FINANCE AND INFRASTRUCTURE COMMITTEE

Trustee Lerner presented the report from the Finance and Infrastructure Committee. The items requiring action by the board were reviewed as follows:

DESIGNER SELECTION – SKIPPER BOWLES DRIVE PAVEMENT REPAIR

This project will renovate the existing pavement, associated sidewalks, curb and gutter, pedestrian crossings and bus stops on Skipper Bowles Drive. The project budget is \$2.1 million and will be funded by State appropriations.

DESIGNER SELECTION – IMPROVEMENTS TO PEDESTRIAN, BICYCLE AND VEHICULAR ACCESS TO AN AREA BETWEEN FRANKLIN STREET AND CAMERON AVENUE

This project will improve the pedestrian, bicycle and vehicular access from Porthole Alley entrance on Franklin Street to Cameron Avenue. The project budget is \$1.2 million and will be funded by University funds.

DESIGNER SELECTION – ROSENAU HALL, BEARD HALL AND OLD CLINIC BUILDING ROOF REPAIRS AND FALL PROTECTION INSTALLATION

This project will repair the roofs and install fall protection at Rosenau Hall, Beard Hall, and Old Clinic Building. The project budget is \$485,000 and will be covered by University funds.

DESIGNER SELECTION – PUBLIC SAFETY BUILDING AND GILES HORNEY BUILDING ROOF REPLACEMENT AND FALL PROTECTION INSTALLATION

This project will replace the roofs and install fall protection at Public Safety Building and Giles Horney Building. The project budget is \$715,000 and will be supported by State appropriations and University funds.

DESIGNER SELECTION – MOREHEAD CHEMISTRY BUILDING ROOF REPLACEMENT AND FALL PROTECTION INSTALLATION

This project will replace the roof and install fall protection at Morehead Chemistry Building. The project is \$663,000 and will be supported by State appropriations.

DESIGNER SELECTION – MCGAVRAN GREENBERG ROOF REPLACEMENT

This project will replace the existing roof at McGavran Greenberg Building. The project budget is \$762,000 and will be funded by State appropriations.

CONSTRUCTION MANAGER AT RISK SELECTION – HILL HALL RENOVATION

This project will renovate the auditorium, rotunda, and lobby and add a back stage area to the auditorium. In addition, the project will address deferred maintenance items which include HVAC, life safety code and accessibility issues. The project budget is \$15 million and will be funded by private gifts and University funds.

Trustee Gardner presented a motion to approve items as presented by Trustee Lerner, Trustee Lamden seconded the motion and it was passed.

SITE APPROVAL – STUDENT HOUSING PHASE III

This project will replace the existing Odum Village housing units with a new 250-bed suite style residence hall. Various on-campus sites were considered as part of the advance planning effort. This is the next phase of the Residential Housing expansion project. The project budget is \$30 million and will be funded by Student Life and Residential Education. The site is located between the Student Academic Services Building and the Rams Head complex along Ridge Road. The project is scheduled to be completed by the end of 2016.

DESIGN APPROVAL – RONALD MCDONALD HOUSE OF CHAPEL HILL INC.

This project will add a 20,000 SF long-term stay facility containing 24 private guest suites to the existing Ronald McDonald House. This facility will be used by families of children who are receiving health care at area hospitals. The project budget is \$6 million and will be funded by the Ronald McDonald House of Chapel Hill, Inc. The Board of Trustees approved the site for this project at the March 2010 meeting. The design has been reviewed by the Design Review Committee following review by the Chancellor's Buildings and Grounds Committee. Although the project is being funded by Ronald McDonald House, the property is owned by the University, thus requiring any alterations to the property to be approved by the Board of Trustees.

PROPERTY ACQUISITIONS BY LEASE – OFFICE SPACE FOR THE UNC INSTITUTE FOR THE ENVIRONMENT

Request approval to acquire approximately 12,104 SF of office space at 100 Europa Drive in Chapel Hill for use by the UNC Institute for the Environment. The lease term will be four years, with options to renew for an additional two years, at an initial rate of \$220,898 with 2.5% annual escalation. Europa Center LLC was selected as the lessor through a public bid process.

Chair Lerner briefly reviewed the items presented to committee for information only. A full review of the committee meeting may be found in the committee minutes in the Office of the Assistant Secretary.

A copy of the PowerPoint presentation is located at bot.unc.edu and is also filed in the Office of the Assistant Secretary.

(ATTACHMENT B)

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

Trustee Gardner, committee chair, presented the report from the University Affairs Committee that included brief remarks from the Executive Vice Chancellor and Provost, the Faculty Chair, and the Employee Forum Chair. Steve Farmer, Vice Provost for Enrollment and Undergraduate Admissions presented an amendment to the admissions policy which was approved by the board.

Trustee Gardner called for a motion to approve this action, it was seconded by all, and passed.

Personnel and compensation actions presented during the committee's closed session will be reviewed during today's closed session.

REPORT OF THE EXTERNAL RELATIONS COMMITTEE

Trustee Curtis presented a review of the External Relations Committee meeting. Presenters included Joel Curran, new Vice Chancellor for Communications and Public Affairs and Lynn Blanchard, Director of the Carolina Center for Public Service. The fundraising report was presented by David Routh, Vice Chancellor for Development. Details of that report are available in the committee minutes of November 20, 2013 and at bot.unc.edu.

The action items regarding Honorary Degrees and recommendations from the Chancellor's Advisory Committee on Naming will be reviewed during the board's closed session.

REPORT FROM THE COMMITTEE ON INNOVATION AND IMPACT

Trustee Steve Lerner chaired the Innovation and Impact Committee for Trustee Phillip Clay who could not attend this month's meeting. The focus of the Innovation and Impact Committee meeting was industrial relations. The committee heard from three presenters: Don Hobart, Associate Vice Chancellor for Research, addressed the committee regarding industrial relations in North Carolina; Barbara Entwisle, Vice Chancellor for Research, discussed the new metrics of research funding and commercialization at UNC; and Andy Johns, Associate Vice Chancellor for Research presented information on industrial funding growth opportunities. A copy of the PowerPoint presentations made during this committee meeting is available at bot.unc.edu and is also filed in the Office of the Assistant Secretary.

MOTION TO CONVENE IN CLOSED SESSION

On motion of Secretary Shuping-Russell, and duly seconded, the Board voted to convene in closed session pursuant to North Carolina General Statutes Section 143-318.11 (a) (1) (to prevent the disclosure of privileged information under Section 126-22 and the following); and also pursuant to Section 143-318.11 (a) (2), (3), (5), and (6).

CLOSED SESSION

REPORT OF THE EXTERNAL RELATIONS COMMITTEE

Honorary Degree Candidate Selection

At the November 2013 committee meeting, Sallie Shuping Russell addressed the committee regarding BOT honorary degree recipients. In light of David Routh's recent arrival, Shuping Russell asked that nominations be deferred until the January 2014 meeting, allowing time for the trustees to further identify and consider appropriate candidates for this honor. Normally, the Board of Trustees approves one name for Honorary Degree awards, however, considering the health of two of the candidates, it was requested that the Board of Trustees allow an exception this year by approving two candidates as Honorary Degree recipients in 2015.

Trustee Cochrane motioned for the exception and the approval of two candidates submitted, motion was seconded by Trustee Stone, all agreed.

LEGAL ADVICE

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

DEEP CLOSED SESSION

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

RECONVENE MEETING IN OPEN SESSION

Chair Caudill reconvened the meeting in open session.

OPEN SESSION

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

Committee Chair Alston Gardner referred the members to the personnel matters submitted for review. A motion to approve the actions came from Trustee Lerner and was seconded by Trustee Lambden, and passed.

(ATTACHMENT C)

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

ADJOURNMENT

There being no further business to come before the Board, the meeting adjourned at 2:48 p.m.

Erin Schuettpelez, Assistant Secretary

BOARD OF TRUSTEES MEETING
The University of North Carolina at Chapel Hill
March 27, 2014

The Board of Trustees met in regular session on Thursday, March 27, 2014 at The Carolina Inn, Hill Ballroom. Chair Caudill presided and convened the meeting at 8:00 a.m.

ROLL CALL

Secretary Sallie Shuping-Russell called the roll and the following members were present:

W. Lowry Caudill, Chair	Charles G. Duckett
J. Alston Gardner, Vice Chair	Peter T. Grauer
Sallie Shuping-Russell, Secretary	Kelly Matthews Hopkins
Jefferson W. Brown	Steven J. Lerner
Phillip L. Clay	Dwight D. Stone
Haywood D. Cochrane	Christopher David McCartney Lambden
Donald Williams Curtis	

Chair Caudill read the following statement regarding the State Government Ethics Act:
“As Chair of the Board of Trustees, it is my responsibility to remind all members of the Board of their duty under the State Government Ethics Act to avoid conflicts of interest and appearances of conflict of interest as required by this Act. Each member has received the agenda and related information for this Board of Trustees’ meeting. If any Board member knows of any conflict of interest or appearance of conflict with respect to any matter coming before the Board of Trustees at this meeting, the conflict or appearance of conflict should be identified at this time.”

CONSENT AGENDA

Approval of Minutes and Mail Ballots

On motion of Trustee Cochrane and duly seconded by Trustee Lambden, the minutes of the meeting of January 2014 were approved as distributed; as was the ratification of mail ballots dated February 17, 2014 and February 26, 2014.

(ATTACHMENT A)

CHAIR’S REMARKS

Lowry Caudill, Chair presented the following remarks:

- Referenced Wednesday’s committee meetings and the board’s ongoing work to remain focused on the four goals of the year: successful Chancellor transition, stronger relationships with key external constituencies, sustainable model for enterprise risk management, and consolidate work on innovation and entrepreneurship.
- UNC-CH continues to receive national recognition for our graduate and professional schools. U.S. News & World Report ranked the School of Medicine #2 in Primary Care and it also tied for 22nd in research overall. Chair Caudill congratulated Dean Bill Roper and his team on this recognition. The College of Arts and Sciences ranked 15th for our Ph.D. program in chemistry, 2nd in analytical chemistry and 8th in inorganic chemistry. Other programs in the top 25 were statistics and computer science. The Kenan-Flagler

Business School ranked 19th for its MBA degree program. Also ranked were degree programs in the Gillings School of Global Public Health, School of Education and School of Law.

- Chair Caudill called on BOT Secretary Sallie Shuping-Russell to read the resolution for Student Body President Christopher Lambden.

**RESOLUTION OF APPRECIATION
FOR CHRISTOPHER DAVID MCCARTNEY LAMB DEN**

WHEREAS, Christopher Lambden served as President of the UNC student body in 2013-2014, and was an articulate and passionate voice for students as a member of the University's Board of Trustees; and,

WHEREAS, Christopher was an innovative and creative leader who ably managed a talented student government team that worked on a broad range of important issues for the Carolina community; and,

WHEREAS, Christopher, as a member of the Title IX Task Force worked with others to educate students about the critical issues surrounding interpersonal violence, convened a student panel to contribute ideas, and was an invaluable and thoughtful spokesperson on campus and elsewhere; and,

WHEREAS, Christopher tackled a number of divisive issues during his tenure, and proved to be a steady and constructive leader for students; and,

WHEREAS, Christopher, as a trustee, was a thoughtful voice in board deliberations, always keeping in mind the long term good of the University;

NOW, THEREFORE, BE IT RESOLVED that the Board of Trustees of the University of North Carolina at Chapel Hill congratulates Christopher Lambden for a job very well done, expresses its deepest appreciation for his outstanding work, and wishes him the very best in his future endeavors.

Trustee Clay presented the motion to approve this resolution, seconded by Trustee Curtis, and passed. The Board of Trustees and all others present applaud Mr. Lambden. After, Chair Caudill continued his remarks.

- Acknowledged Chancellor Folt's recent accomplishments including her visit to the White House to represent the University on sexual assault. This was the Chancellor's third visit to the White House in eight months.
- Last month, the Chancellor made a major policy presentation to the UNC Board of Governors about the commercial and financial value of intellectual property created by UNC faculty researchers.
- Chancellor Folt was also recognized as an active researcher by being a featured plenary session speaker at the National Institutes of Health and Environmental Sciences workshop on the health effects of arsenic, one of her longtime research interests. She also spoke as part of the institute's distinguished Spirit Lecture Series – an annual event highlighting women who have made significant contributions to the field, while maintaining a rich and meaningful personal life.

- The Chancellor has also spent time visiting with alumni and friends in California, Atlanta and London. These visits are playing well and are putting the University in an excellent position with important constituents.
- Chair Caudill introduced Felicia Washington, who is now the Vice Chancellor for Workforce Strategy, Equity and Engagement. This position will bring together critical functions under one office.

[A copy of these remarks is located in the Office of the Assistant Secretary.]

REMARKS FROM THE STUDENT BODY PRESIDENT

Christopher Lambden gave his final remarks as Student Body President:

- Introduced Andrew Powell, the 2014-2015 Student Body President from Nashville, TN. Andrew's platform focuses on educational reform and innovation.
- Reflected on his platform to make a Carolina more affordable, safe and academically prestigious environment, as well as the last year of accomplishments:
 - Wanted to foster stronger relationships between the student population and state legislature.
 - Conducted a full audit of all student fees.
 - Worked on petition for students to voice their opposition to the Board of Governors academic policies regarding drop-add periods.
 - Created a website to compile a list of all resources open to students.
 - Served on the Universities Task Force charged with drafting a new sexual assault and harassment policy.
- Addressed the divide between the Greek community and the rest of the campus.
- Thanked all on the board who have served with him in the last year and the administrators he has had the opportunity to work with.

[A copy of these remarks is on file in the Office of the Assistant Secretary]

CHANCELLOR'S REMARKS

Chancellor Folt spoke on the following:

- Thanked Student Body President Christy Lambden for his efforts over the last year.
- Since the last meeting, the Chancellor met with other university presidents at the University of Virginia to talk about sexual assault as well as participated in a listening session at the White House with President Obama's White House Task Force.
- Visited King's College in London. This was an opportunity to extend strategic partnership with King's College, leaders in teaching and research. She also visited California and Atlanta to meet with alumni.
- Sought out a new inquiry by an independent counsel with the help of President Tom Ross. Ken Wainstein will lead the inquiry. When he is done, the report will be made public.
- Addressed the role of faculty research during her Board of Governor's presentation. UNC faculty researchers create jobs, attract talent and industry, spins out business start-ups and builds North Carolina's economy.

- Later this afternoon will be the Marsico Hall dedication. This will tie success in biomedical research to state-of-the-art facilities. She highlighted Tom Marsico's contributions to UNC's healthcare program as well as the N.C. General Assembly for their investment of \$243 million in 2009.
- Recently, Chancellor Folt and Director of Athletics, Bubba Cunningham, met with ACC Commissioner John Swoffard. They outlined six core areas of focus: academic preparedness, education, health and wellness, time demands, resources, and representation at the Governance levels.
- Introduced the four presenters for the meeting: Dean Bill Roper; Chair of the Applied Physical Sciences Department, Peter Mucha; STAR Program students; and Athletic Director Bubba Cunningham and student-athletes.

[The Chancellor's remarks are on file in the Office of the Assistant Secretary.]

UNC SCHOOL OF MEDICINE UPDATE

Chancellor Folt introduced Dean of the UNC School of Medicine, Vice Chancellor for Medical Affairs and CEO of UNC Health Care, Bill Roper, to give an update on the School of Medicine.

Dean Roper presented the Association of Medical College's (AAMC) annual report for UNC-CH. There are six areas of focus, each given a percentage ranking. They are as follows:

- Graduate a workforce that will address the priority health needs of the nation
 - UNC ranked in the 86th percentile for practicing in underserved areas
- Prepare a diverse physician workforce
 - 94th percentile for graduates who are African-American
- Foster the advancement of medical discovery
 - 90th percentile for graduates receiving NIH awards
- Provide high quality medical education as judged by your recent graduates (as done by a survey to each graduating student)
 - 95th percentile for how satisfied graduates are with their medical education
- Prepare physicians to fulfill the needs of the community
 - 100th percentile for instruction in women's health
- Graduate a medical school class with manageable debt
 - 38th percentile for out-of-state cost of attendance (lower the score the better)
 - 14th percentile for in-state cost of attendance
 - 5th percentile in average debt

Overall, the School is in a great position with room for improvement according to the report and Dean Roper. He concluded his presentation by taking questions from the Board.

[A copy of this presentation is available at bot.unc.edu]

APPLIED PHYSICAL SCIENCES

Chancellor Folt introduced Chair of the Applied Physical Sciences Department, Dr. Peter Mucha. This department is UNC-CH's first new college science department in forty years. Applied Physical Sciences lives in a collaborative interdisciplinary space between science and engineering. It essentially combines cutting edge knowledge and discovery with an engineering mindset to address problems. This department aims to bridge the gap between discovery and innovation as well as better balance basic and applied research here at Carolina. New faculty hires will join a strong team of six researchers who have received over \$42 million in research awards in the last four years (fiscal years 2010-2013). Faculty affiliated with the founding of the

new department have worked on projects such as: targeted drug delivery to cancer cells, developing lab-on-a-chip applications, and making solar energy more accessible. To be better positioned for the future and to remain competitive, we must expand our team of faculty members and provide funding to grow. Dr. Mucha concluded his presentation by answering questions from the Board.

[A copy of this presentation is available at bot.unc.edu]

STAR PROGRAM

Doug Shackelford, Dean of the Kenan-Flagler Business School introduced the students in the STAR Program: Tyler Eshraghi, Lauren Braswell, Jeff Kagan, Abhinav Mehla and Olivia Frere. The team is advising the UNC School of the Arts (UNCSA) on the redesign of a sound stage in High Point to make the Triad and North Carolina more competitive for movie and television production projects. STAR has assembled for 2014 a list of clients that include: ESPN, NC Governor's Office, RENC1 and Belk to name a few.

The STAR team showed that UNCSA aims to create a turn-key, state-of-the-art facility. This facility will include indoor/outdoor green screens, on-site post-production, an extensive digital library, a tank for underwater and above water filming, as well as access to UNCSA facilities. They explained each portion of the planning process and steps that must be taken for this project to come to fruition.

The students and Dr. Paul Friga, Director of the STAR Program, entertained a few questions from the trustees.

[A copy of this presentation is available at bot.unc.edu]

A DAY IN THE LIFE OF A STUDENT-ATHLETE

Bubba Cunningham, Director of Athletics, introduced six student-athletes: Tim Scott (football), Ryan Switzer (football), Kemmi Pettway (football), Michelle Ikoma (women's gymnastics), Lori Spingola (softball) and Marcus Paige (men's basketball).

Tim Scott served as moderator for the other student-athletes. Ryan Switzer began by showing his calendar for the year as a football player. He also showed a more in-depth view of a scheduled-week during football season. Kemmi Pettway spoke about MAP (My Academic Plan) and how it allows him to structure his schedule. Michelle discussed the Carolina CREED and the Baddour Carolina Leadership Academy. Lori showed her program, Carolina Outreach that she created in conjunction with the Arc of Orange County. Lastly, Marcus Paige talked about why he chose to attend Carolina.

Following their presentation, the student-athletes took questions from the Board.

[A copy of this presentation is available at bot.unc.edu]

REPORT OF THE FINANCE AND INFRASTRUCTURE COMMITTEE

Trustee Lerner presented the report from the Finance and Infrastructure Committee. The items requiring action by the board were reviewed as follows:

HAMILTON HALL ENVELOPE RESTORATION

This project will address the Hamilton Hall exterior façade deficiencies identified in an earlier assessment report.

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

This project was advertised on January 27, 2014. Ten (10) proposals were received. Five (5) firms were interviewed on February 27, 2014. Members of the Board of Trustees did not participate in the interviews.

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

- | | |
|--|----------------|
| 1. SKA Consulting Engineers | Greensboro, NC |
| 2. Atlas Engineering Inc. | Raleigh, NC |
| 3. John B. Hawkins Architect/SGI Engineers | Raleigh, NC |

The firms were selected for their past performance on similar projects, their knowledge of exterior envelope repairs, the strength of their proposed staff and their understanding of the project.

CAMPUS RECREATION MASTER PLAN

This project will develop a comprehensive master plan to improve the Campus Recreation facilities. The master plan will evaluate the existing outdoor and indoor facilities and identify improvements to meet the needs of the program.

The project budget is \$200,000 covered by University funds.

Advertising began on January 7, 2014. Ten (10) proposals were received. Four (4) firms were interviewed on February 26, 2014. Members of the Board of Trustees did not participate in the interviews.

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

- | | |
|--|-------------------------|
| 1. 360 Architecture | Kansas City, MO |
| 2. RGD Planning+Design | Des Moines, IA |
| 3. CRA/Hastings+Chivetta/Brailsford & Dunlavey
NC | Chapel Hill & Charlotte |

The firms were selected for their past performance on similar projects, the strength of the proposed staff and their understanding of the project.

HVAC CONTROLS UPGRADE AT HANES, MITCHELL, SWAIN HALLS, AND STEELE BUILDING

This project will upgrade the existing pneumatic HVAC controls at Hanes, Mitchell, and Swain Halls and Steele Building.

The project budget is \$463,000 and will be funded by State appropriations.

This project was advertised on January 16, 2014. Six (6) proposals were received. Three (3) firms were interviewed on February 27, 2014. Members of the Board of Trustees did not participate in the interviews.

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

- | | |
|-----------------------------|-------------|
| 1. Dewberry Engineers, Inc. | Raleigh, NC |
| 2. Stanford White, Inc. | Raleigh, NC |
| 3. McKim & Creed, Inc. | Raleigh, NC |

The firms were selected for their past performance on similar projects, the strength of the proposed staff and their understanding of the project.

RIDGE ROAD PEDESTRIAN SAFETY ZONES MASTER PLAN

This project will develop a comprehensive master plan to improve the pedestrian safety on Ridge Road from Manning Drive to Country Club Road. Advance Planning for improvements to the area between Boshamer Stadium and Country Club Road will be part of this project.

The project budget is \$200,000 and will be funded by University funds.

This project was advertised on January 24, 2014. Three (3) proposals were received. Three (3) firms were interviewed on March 4, 2014. Members of the Board of Trustees did not participate in the interviews.

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

- | | |
|------------------------------|-----------------|
| 1. Stewart Engineering | Raleigh, NC |
| 2. OBS Landscape Architects | Raleigh, NC |
| 3. Corley Redfoot Architects | Chapel Hill, NC |

The firms were selected for their past performance on similar projects, the strength of the proposed staff and their understanding of the project.

(ATTACHMENTS B-E)

DESIGN APPROVAL – MARY ELLEN JONES BUILDING RENOVATION

This project will renovate the upper 6 floors of Mary Ellen Jones Building as new research laboratory and office space. In addition, the project will address deferred maintenance items which include: HVAC, electrical, plumbing, life safety code, accessibility and exterior envelope

issues. A new elevated plaza is proposed to connect the 3rd floor of Mary Ellen Jones Building to the walkway at Thurston Bowles Building.

The project budget is \$77.4M and will be funded by University funds.

The Board of Trustees reviewed the project at its January 2014 meeting.

The design has been reviewed by the Design Review Committee.

The Chancellor's Buildings and Grounds Committee approved the project at its February 2014 meeting.

(ATTACHMENT F)

STUDENT FEES

The interim Vice Chancellor for Finance & Administration reviewed a slide presentation explaining the details of the student fees proposal. A copy of this presentation is available in the Office of the Assistant Secretary.

Winston Crisp, Vice Chancellor for Student Affairs was called upon to discuss student fees for the 2014-15 academic year. UNC has spent the last four to five years attempting to keep fees low with analysis provided by student government regarding recommendations to increase or decrease specific fees in order to best serve our student population. Overall, our current fees are the lowest in the University's 17-campus system at 81% of the system average. Although our athletic and student activity fees are lower, the educational technology and student health fees are well above the system average. The initial recommendation to the Board of Governors from campus, agreed to by student government, was to raise our student health fee by \$7. The Board of Governors asked the Trustees to reconsider the request, concerned that our Student Health Fee was among the highest in the system and covered items which perhaps should not be considered items of student health. If these services were not covered by the existing student health fee, the fee for 2014-15 would be \$20 less per student than the current fee.

After some discussion, the initial proposal regarding student health fees was revised to remove certain services from this fee. The result is a Student Health Fee reduction of \$20 per student for this year and supplementing the budget by finding other ways to support all the services currently offered through the current Student Health fee. The committee discussed its concerns about leaving the fee as is versus the \$20 reduction. Mr. Brown presented the motion to approve the \$20 reduction in the fee, Mr. Grauer seconded, and the motion passed. Mr. Lambden and Ms. Shuping Russell voted against the motion in committee. During the Full Board meeting, the motion passed with Mr. Lambden voting against the motion.

(ATTACHMENT G)

Chair Lerner briefly reviewed the items presented to committee for information only. These included the following items:

- Carolina Research Venture Fund Update
- Quality Assurance Review
- Development Report
- Campus Services Overview

A full review of the committee meeting may be found in the committee minutes in the Office of the Assistant Secretary, and at bot.unc.edu.

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

There were no Action Items for this Committee in open session. Trustee Gardner, committee chair, presented the report from the University Affairs Committee that included brief remarks from the Executive Vice Chancellor and Provost, the Executive Vice Provost and Chief International Officer, the Faculty Chair, the Employee Forum Chair, and the Graduate and Professional Student Federation President.

Personnel and compensation actions presented during the committee's closed session will be reviewed during today's closed session. A full review of the committee meeting may be found in the committee minutes in the Office of the Assistant Secretary, and at bot.unc.edu.

REPORT OF THE EXTERNAL RELATIONS COMMITTEE

There were no Action Items for this Committee in open session. Trustee Curtis presented a review of the External Relations Committee meeting. Presenters included Connie Walker, General Manager of WUNC Radio, Joel Curran, Vice Chancellor for Communications and Public Affairs, and Jennifer Willis, Director of State Government Relations. The fundraising report was presented by David Routh, Vice Chancellor for Development. A full review of the committee meeting may be found in the committee minutes in the Office of the Assistant Secretary, and at bot.unc.edu.

The action items regarding Honorary Degrees and recommendations from the Chancellor's Advisory Committee on Naming will be reviewed during the board's closed session.

REPORT FROM THE COMMITTEE ON INNOVATION AND IMPACT

There were no Action Items for this Committee in open session. Trustee Clay presented a review of the Innovation and Impact Committee. The committee heard an update from Trustee Sallie Shuping-Russell on the Carolina Research Venture Fund. Following that update the committee heard from three presenters: Judith Cone, Special Assistant to the Chancellor for Innovation and Entrepreneurship, Jim Kitchen, Entrepreneur and Kenan-Flagler Business School Lecturer in Entrepreneurship, and lastly, Bob Geolas, President and CEO at the Research Triangle Foundation. A copy of the PowerPoint presentations made during this committee meeting is available at bot.unc.edu and are also filed in the Office of the Assistant Secretary.

MOTION TO CONVENE IN CLOSED SESSION

On motion of Secretary Shuping-Russell, and duly seconded, the Board voted to convene in closed session pursuant to North Carolina General Statutes Section 143-318.11 (a) (1) (to prevent the disclosure of privileged information under Section 126-22 and the following); and also pursuant to Section 143-318.11 (a) (2), (3), (5), and (6).

CLOSED SESSION

REPORT OF THE EXTERNAL RELATIONS COMMITTEE

Recommendations from the Chancellor's Naming Committee

Trustee Curtis presented the naming recommendations which were previously presented to the External Relations Committee and approved by the committee. A copy of the report is filed in the Office of the Assistant Secretary.

Board of Visitors Class of 2018 Nominations

Linda Douglas, Director of Community Relations, presented a list of nominees for the next class of Board of Visitors, along with an alternate list. A motion was made by Trustee Stone and seconded by Trustee Gardner; and the Board of Trustees approved the 41 names on the nomination list, adding one name from the alternate list. The Board of Trustees will divide the nominee list and make formal calls to invite each person to become a member of the Board of Visitors. The final list of acceptances will be presented for final approval at the May 2014 Board of Trustees meeting.

REPORT OF THE FINANCE AND INFRASTRUCTURE COMMITTEE

Trustee Lerner presented the info by the Labor Licensing Committee regarding products manufactured in Bangladesh, given to the committee by Vice Chancellor Felicia Washington.

LEGAL ADVICE

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

DEEP CLOSED SESSION

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

RECONVENE MEETING IN OPEN SESSION

Chair Caudill reconvened the meeting in open session.

OPEN SESSION

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

Committee Chair Alston Gardner referred the members to the personnel matters submitted for review. A motion to approve the actions came from Trustee Lerner and was seconded by Trustee Lambden, and passed.

(ATTACHMENT H)

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

ADJOURNMENT

There being no further business to come before the Board, the meeting adjourned at 2:30 p.m.

Sallie Shuping-Russell, Board of Trustees Secretary

BOARD OF TRUSTEES MEETING
The University of North Carolina at Chapel Hill
May 22, 2014

The Board of Trustees met in regular session on Thursday, May 22, 2014 at The Carolina Inn, Chancellor's Ballroom. Chair Caudill presided and convened the meeting at 8:00 a.m.

OATH OF OFFICE

James C. Stanford, Orange County Clerk of Superior Court, administered the oath of office for Student Body President Andrew Powell.

ROLL CALL

Secretary Sallie Shuping-Russell called the roll and the following members were present:

W. Lowry Caudill, Chair	Charles G. Duckett
J. Alston Gardner, Vice Chair	Peter T. Grauer
Sallie Shuping-Russell, Secretary	Kelly Matthews Hopkins
Jefferson W. Brown	Steven J. Lerner
Phillip L. Clay	Dwight D. Stone
Haywood D. Cochrane	Andrew H. Powell
Donald Williams Curtis	

Chair Caudill read the following statement regarding the State Government Ethics Act:
"As Chair of the Board of Trustees, it is my responsibility to remind all members of the Board of their duty under the State Government Ethics Act to avoid conflicts of interest and appearances of conflict of interest as required by this Act. Each member has received the agenda and related information for this Board of Trustees' meeting. If any Board member knows of any conflict of interest or appearance of conflict with respect to any matter coming before the Board of Trustees at this meeting, the conflict or appearance of conflict should be identified at this time."

CONSENT AGENDA

Approval of Minutes and Mail Ballots

On motion of Trustee Cochrane and duly seconded by Trustee Lambden, the minutes of the meeting of March 2014 were approved as distributed; as was the ratification of mail ballots dated March 31st, April 28th, and April 29th.

(ATTACHMENT A)

CHAIR'S REMARKS

Chairman Lowry Caudill presented the following remarks:

- Introduced the newest Trustee, Andrew Powell. Andrew is a rising senior from Nashville, TN. He will be serving as Student Body President for the 2014-2015 year.
- Thanked the task force and committee chairs, along with the rest of the board, for continued hard work before and during the meetings over the last ten months.

- Recognized Chancellor Folt, Provost Dean and their colleagues on an exceptional Spring Commencement. 32,000 people attended this year making it one of our largest audiences in several years.
- Acknowledged Jane Smith, Associate Director of University Events, who retires this summer. This was Jane's 24th consecutive spring Commencement. She joined UNC in the fall of 1990 where she has worked on numerous events including Board of Trustees dinners and functions and 23 football seasons assisting chancellors and guests of the University. She only missed four games during that stretch.
- Commencement marked a wonderful way to conclude the Chancellor's first academic year. Chair Caudill is pleased with the progress the Chancellor and her senior team has made to strengthen the ties between the trustees and Carolina students. The presentations at each meeting have highlighted student leadership, creativity and commitment to Carolina.
- Chancellor Folt was invited back to the White House for a fourth time since arriving to Chapel Hill. This was for the second gathering of college and university leaders as part of President Obama's Task Force to Protect Students from Sexual Assault. During the University Affairs Committee meeting on May 21, 2014, the board heard an update from Vice Chancellor Crisp on the continued progress of our own campus task force on sexual assault.
- Since the last meeting, Chancellor Folt has filled the last remaining vacant senior administrative position: Chief Financial Officer and Vice Chancellor for finance and Administration. Matthew Fajack will join us in June from a comparable position at the University of Florida.

[A copy of these remarks is located in the Office of the Assistant Secretary and at bot.unc.edu.]

REMARKS FROM THE STUDENT BODY PRESIDENT

Andrew Powell, Student Body President presented remarks:

- Acknowledged the efforts of Christy Lambden over the last year.
- The level of engagement in elections this year (both faculty and student) is a testament to the challenges we face, and the depth of this community's love for Carolina.
- Andrew commented on how honored he is to serve as a trustee and representative of the students at Carolina.
- During his campaign, Andrew talked about how Carolina has led the way since the doors opened in 1795. UNC-CH serves as a model of a university that is accessible, affordable, and empowering.
- Last semester, Andrew was enrolled in Chairman Caudill's scientific ventures course. He spoke on what he learned about innovation, translation and entrepreneurship and how it revealed an integral part of Carolina's character – an unyielding desire to innovate and to take on the most daunting challenges of our time.

[A copy of these remarks is located in the Office of the Assistant Secretary and at bot.unc.edu.]

CHANCELLOR'S REMARKS

Chancellor Folt spoke on the following:

- Thanked those who have helped her during her first year at Carolina.
- In thinking about how Carolina is doing, two things come to mind: the students we are sending out into the world, and the ones we're welcoming to Carolina for the first time. On both fronts, we're excelling.
- Discussed her first Commencement and how inspiring it was. Chancellor Folt signed several diplomas of "Carolina First" – students who are the first in their families to attend college. This year we graduated more than 600 first-generation college students.
- We honored 27 new ensigns and second lieutenants in the Army, Air Force, Navy and Marines at a special "Red, White and Carolina Blue" graduation ceremony. New this year were the military honor cords worn for veteran, active military and ROTC graduates.
- There were 251 members of this year's class of Buckley Public Service Scholars. On average, these students completed more than 450 hours of service during their time at Carolina. Fifteen students recorded 1,000 or more, and two recorded more than 2,000.
- The things our graduates are doing with their lives are wonderful to see. For example, with the selection this year of Joël Joseph Hage, 36 students have been named Luce Scholars, the highest number of any American university. The Luce Scholars Program funds a year of living and learning in Asia for recent college graduates.
- We had a record number – more than 31,000 – first-year applications. This makes the ninth straight year that we've broken our previous record. Carolina is on target to enroll another talented, diverse class this fall. These students will come from almost every North Carolina county, most U.S. states and more than 50 countries.
- Mentioned the Carolina Advising Corps that helped more than 4,000 high school seniors apply to college in North Carolina for the 2014-2015 year.
- In 2003, UNC was ranked 13th nationally in university research funding from the National Institutes of Health. As of 2013, UNC-Chapel Hill has jumped to 7th nationally. Many of the six schools ranked higher than UNC-CH are significantly larger.
- Kathleen Mullan Harris, the James E. Haar Distinguished Professor of Sociology, and Mike Ramsey, the Minnie N. Goldby Distinguished Professor of Chemistry, were elected this year to the National Academy of Sciences and National Academy of Engineering, respectively. These are some of the highest honors that a U.S. scientist or engineer can receive.
- Addressed the addition of Matthew Fajack, the new Chief Financial Officer and Vice Chancellor for Finance and Administration.
- Acknowledged the pending Title IX investigation and how Carolina is working to address these issues.
- More than 1,000 members of the Class of 2014 donated to the Senior Campaign this year.
- Two new gifts that will enhance Carolina's work in important areas were announced: First, we announced on May 20, 2014 that Carolina, along with Penn State and University of Maryland Baltimore County, was awarded nearly \$8 million in grant funding from the Howard Hughes Medical Institute to enhance and evaluate our Chancellor's Science Scholars program. Second, the Local Government Federal Credit Union has pledged \$7.1 million to the UNC School of Government for initiatives to support North Carolina local governments.
- In closing, Chancellor Folt introduced the presenters for the meeting: Dr. Bruce Cairns, Director of the Jaycee Burn Center; Dean Jack Richman, Clinical Instructor, Josh Hinson, and students from the UNC School of Social Work; and Dean Mike Smith and Marcia Machado Peritt, Projects Manager for the Development Finance Initiative at the

UNC School of Government.

[A copy of these remarks is located in the Office of the Assistant Secretary and at bot.unc.edu.]

NORTH CAROLINA JAYCEE BURN CENTER

Dr. Bruce Cairns, Director of the Jaycee Burn Center and John Stackhouse Distinguished Professor of Surgery spoke about the Jaycee Burn Center and how it serves the state of North Carolina.

Dr. Cairns started by showing a video about the Burn Center and some of the patients they have helped. The Burn Center opened in 1981 and is the largest ICU in the hospital. They are verified to admit critically injured adults and pediatrics. The Burn Center here is the second busiest in the nation. It focuses on acute care, prevention, education, research and rehabilitation. Dr. Cairns showed that over the last ten years the Burn Center has seen a 2.5x increase in the number of patients they see. Over the years, partners like Duke Energy have helped to renovate areas of the Burn Center – including the Family Room. UNC has the only Burn Reconstruction and Aesthetic Center in the world. The Jaycee Burn Center is helping to lead the way in burn treatments with innovative laser surgeries and novel minimal perforation skin graft meshers. UNC also has a partnership with Johnson & Johnson that provides a 35-bed burn unit in Malawi. Survival in Africa from burns has increased from 20% to 40%.

After concluding his presentation, he asked former patient and recent UNC graduate, Cruz Maria Santibanez, to share her experience with the Jaycee Burn Center. After she finished, they entertained questions from the trustees.

[A copy of this presentation is available at bot.unc.edu and is on file in the Office of the Assistant Secretary.]

REFUGEE MENTAL HEALTH & WELLNESS INITIATIVE

Chancellor Folt introduced Dean of the UNC School of Social Work, Jack Richman and Clinical Instructor, John Hinson and three UNC School of Social Work students.

Dean Richman gave an introduction before turning it over to Professor Hinson who gave background on the study. The Refugee Mental Health and Wellness Initiative is a pilot study that explores the mental health needs of newly arrived refugees in North Carolina. Professor John Hinson received a grant for \$14,000 from the School's Armfield-Reeves Innovation Fund to launch the project. The study focuses on mental health screenings in Orange and Durham counties. They only work with those who have been designated by the federal government as refugees. North Carolina sees refugees from Somalia, the Sudan, Iraq, and Southeast Asia to name a few. Each of the three students, Albert Thrower, Erin Magee, and Allie Hill gave first-hand accounts of their experience over the last year with the study interacting with refugees in the community.

Dean Richman, Professor Hinson and the students concluded the presentation by entertaining questions from the trustees.

[A copy of this presentation is available at bot.unc.edu and is on file in the Office of the Assistant Secretary.]

UNC SCHOOL OF GOVERNMENT OVERVIEW & DEVELOPMENT FINANCE INITIATIVE

Mike Smith, Dean of the UNC School of Government, and Marcia Machado Perritt, Project Manager for the Development Finance Initiative (DFI), presented to the board an overview of the School of Government and DFI.

Dean Smith started by presenting the mission for the school: "improve the lives of North Carolinians by helping public officials understand and improve state and local government through teaching, publishing and advising". Last year, the school had 11,023 public officials attend 159 courses and 3,128 participants attend 9 webinars. Additionally to teaching courses, the school helps with orientation for new state legislators and assists with legislation.

DFI was funded with a \$1 million grant from Local Government Federal Credit Union and it was started to create opportunities for economically distressed communities in North Carolina by increasing their access to and use of innovative development finance instruments. Ms. Perritt presented to the board one of DFI's projects that worked with Kinston, NC to revitalize its downtown. To conclude, Dean Smith and Ms. Perritt entertained questions from the trustees.

[A copy of this presentation is available at bot.unc.edu and is on file in the Office of the Assistant Secretary.]

REPORT OF THE FINANCE AND INFRASTRUCTURE COMMITTEE

Trustee Lerner presented the report from the Finance and Infrastructure Committee. The items requiring action by the board were reviewed as follows:

- Acquisition by lease – UNC Development Office

Chair Lerner briefly reviewed the items presented to committee for information only. These included the following items:

- Internal Audit Report given by Phyllis Petree, Director of Internal Audit
- Financial Update given by Interim Vice Chancellor for Finance & Administration, Kevin Seitz
- Development Report given by David Routh, Vice Chancellor for University Development
- Professional Development in Athletics given by Athletic Director Bubba Cunningham
- Master Plan Update given by Anna Wu, Assistant Vice Chancellor for Facilities Operations, Planning and Design

A full review of the committee meeting may be found in the committee minutes in the Office of the Assistant Secretary, and at bot.unc.edu.

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

There were no action items for this Committee in open session. Trustee Gardner, committee chair, presented the report from the University Affairs Committee that included brief remarks from:

- Bubba Cunningham, Director of Athletics
- Jan Boxill, Chair of the Faculty
- Charles Streeter, Chair of the Employee Forum and Ms. Lorch, Education Coordinator at the Carolina Campus Community Garden
- Kevin Seitz, Interim Vice Chancellor for Finance and Administration
- Shelby Dawkins-Law, Graduate and Professional Student Federation President

- Charlie Perusse, COO at UNC General Administration
- Ron Strauss, Executive Vice Provost and Chief International Officer
- Winston Crisp, Vice Chancellor for Student Affairs
- Students with the "Rename Saunders" Campaign

Personnel and compensation actions presented during the committee's closed session will be reviewed during today's closed session. A full review of the committee meeting may be found in the committee minutes in the Office of the Assistant Secretary, and at bot.unc.edu.

REPORT OF THE EXTERNAL RELATIONS COMMITTEE

There were no action items for this Committee in open session. Trustee Curtis presented a review of the External Relations Committee meeting. A communications update was given by Joel Curran, Vice Chancellor for Communications and Public Affairs and the fundraising report was given by David Routh, Vice Chancellor for Development. A full review of the committee meeting may be found in the committee minutes in the Office of the Assistant Secretary, and at bot.unc.edu.

The action items regarding Honorary Degrees, Board of Visitors Class of 2018, Davie Awards and recommendations from the Chancellor's Advisory Committee on Naming will be reviewed during the board's closed session.

REPORT FROM THE INNOVATION AND IMPACT COMMITTEE

There were no action items for this Committee in open session. Barbara Entwisle, Vice Chancellor for Research presented a research funding update. Then Trustee Clay led a discussion on the agenda and plan for the Innovation and Impact Committee. A copy of the PowerPoint presentation made during this committee meeting and the memo discussed is available at bot.unc.edu and is also filed in the Office of the Assistant Secretary.

MOTION TO CONVENE IN CLOSED SESSION

On motion of Secretary Shuping-Russell, and duly seconded, the Board voted to convene in closed session pursuant to North Carolina General Statutes Section 143-318.11 (a) (1) (to prevent the disclosure of privileged information under Section 126-22 and the following); and also pursuant to Section 143-318.11 (a) (2), (3), (5), and (6).

CLOSED SESSION

REPORT OF THE EXTERNAL RELATIONS COMMITTEE

Honorary Degrees and Special Awards

David Routh, Vice Chancellor for University Development brought forth six honorary degree recipients for the 2015 Spring Commencement proceedings. A motion was made to approve these recipients, it was seconded and the motion passed. The Chancellor will send the letters of nomination to these recipients; they must agree to attend the commencement proceedings in order to accept the degree. Should a nominee die before May 2015 Commencement, then they will be awarded the degree posthumously.

Board of Visitors Class of 2018 Selection

David Routh, Vice Chancellor for University Development approached the committee with the final list of names for the Board of Visitors Class of 2018. This list included the three additions submitted by the Board of Trustees since the last meeting. The Board was asked to approve this final list of 40 names, as well as the recommendations that Rick Margerison be appointed Chair of the Board of Visitors for 2014-15 and Tom Long serve as Vice Chair. A motion was made to approve these names, it was seconded and the motion passed.

Davie Award Nominees

The Board of Trustees usually grants four or five Davie Awards each year. The list of nine nominees was presented to the Board which selected five recipients for 2014. A motion was made to approve the five names, it was seconded and it passed. The list remains confidential until each nominee has been notified. The Chancellor's office will be responsible for contacting the nominees. Awards are presented at in November 2014 in conjunction with the Board of Trustees dinner.

Recommendations from the Chancellor's Naming Committee

David Routh, Vice Chancellor for University Development presented the naming recommendations which were previously presented to the External Relations Committee and approved by the committee. A copy of the report is filed in the Office of the Assistant Secretary. A motion was made to approve the naming items, it was seconded and the motion passed.

LEGAL ADVICE

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

DEEP CLOSED SESSION

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

RECONVENE MEETING IN OPEN SESSION

Chair Caudill reconvened the meeting in open session.

OPEN SESSION

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

Committee Chair Alston Gardner referred the members to the personnel matters submitted for review. A motion to approve the actions was called and was seconded by Trustee Cochrane.

(ATTACHMENT B)

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

ADJOURNMENT

There being no further business to come before the Board, the meeting adjourned at 1:30 p.m.



Dwayne Pinkney, Assistant Secretary

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

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

17. Board of Trustees Scheduled Review

Are the data in this survey scheduled to be presented to your Board of Trustees (before final submission to UNC-GA on March 31, 2015) in accordance with Management Flexibility Policy 600.3.4, §C. (3)(b)?

- ☒ Yes
- ☐ No

18. Campus Certification Memo

Prepare to submit a signed copy of the [Management Flexibility Certification Memo](#), indicating campus compliance with Policies, Regulations, and Guidelines associated with UNC Policy 600.3.4.

1. Download the [Management Flexibility Certification Memo](#).
2. After your campus Board of Trustees have reviewed your submission, have the Chief Academic Officer and Senior Human Resource Official sign the memo affirming the accuracy of the campus submission.
3. Send the signed memo to Eric Fotheringham at UNC General Administration (emfotheringham@northcarolina.edu).

Thank you for taking the time to complete this survey. If all of your information is complete to begin initial reviews by UNC-GA, please select FINISH below in order to print a formatted PDF of your responses on the next page.

UNC-GA staff will contact you with any questions about your "working submission" as we begin the review.

After saving or printing your responses, please contact Eric Fotheringham at UNC-GA to make any corrections (you will be sent a link to open your survey again with previously recorded responses).

After presenting this information to your Board of Trustees, have the Chief Academic Officer and Senior Human Resource Official sign the Management Flexibility Certification Memo and send it to Eric Fotheringham at UNC-GA.