

2. Orientation to Personnel and Tenure.....Junius Gonzales/Matt Brody

Situation: With new Committee members, staff to the Committee on Personnel and Tenure will provide an overview of the roles and responsibilities of committee members.

Background: The orientation will include the following elements:

- The Committee Charge
- Annual Report of the Personnel and Tenure Committee
- Introduction of Staff to the Committee
- Personnel Authority and Compensation Overview
- Faculty Appeal Process
- Reports
- Tutorial Suggestions

Assessment: The attached documentation provides additional information related to the above items.

Action: This item is for information only.

The Board of Governors

COMMITTEE ON PERSONNEL AND TENURE Committee Charge

The major responsibilities of the Committee on Personnel and Tenure, as established by Section 301D of The Code of the Board of Governors are: (1) to make recommendations to the Board on all personnel actions under the jurisdiction of the Board, including establishment of senior academic and administrative officer positions and approving salary increases of 10% or greater (*effective as of July 1, 2013 to comply with the 2013-14 State Appropriations Act*); (2) to review The Code and institutional policies and regulations regarding tenure and dismissal; (3) to review appeals from faculty members that involve questions of tenure; and (4) to act on other personnel matters that involve significant policy considerations.

The Board of Governors

COMMITTEE ON PERSONNEL AND TENURE ANNUAL REPORT

July 1, 2014 - June 30, 2015

The major responsibilities of the Committee on Personnel and Tenure, as established by Section 301D of The Code of the Board of Governors are: (1) to make recommendations to the Board on all personnel actions under the jurisdiction of the Board, including establishment of senior academic and administrative officer positions and approving salary increases of 10% or greater (*effective as of July 1, 2013 to comply with the 2013-14 State Appropriations Act*); (2) to review The Code and institutional policies and regulations regarding tenure and dismissal; (3) to review appeals from faculty members that involve questions of tenure; and (4) to act on other personnel matters that involve significant policy considerations.

Pursuant to Policy 200.6, adopted on November 13, 2006 and amended June 8, 2007 and April 8, 2011, the Board of Governors has delegated the authority to the President of the University to:

- a) Appoint and set the salaries of Senior Academic and Administrative Officers (§300.1.1 and §600.3.4) and other employees exempt from the State Personnel Act (§300.2.1) serving within the UNC General Administration.
- b) Set salary ranges for Senior Academic and Administrative Officers of the constituent institutions of University (§600.3.4).
- c) Approve conferrals of tenure and to set salaries of faculty, Senior Academic and Administrative Officers, except the chancellors, and other employees exempt from the State Personnel Act at campuses that do not have Management Flexibility to Appoint and Fix Compensation as long as those salaries are within the established salary ranges and are not raises in excess of 10% (*effective as of July 1, 2013 to comply with the 2013-14 State Appropriations Act*) than the salary in effect at the end of the last fiscal year. (§300.1.1 and 600.3.4; Code §602).

d) Approve all actions relating to the administration of the Optional Retirement Program (G.S. §135-5.1) and the Phased Retirement Program (§300.7.2).

e) Approve salary increases in excess of 10% (*effective as of July 1, 2013 to comply with the 2013-14 State Appropriations Act*)

f) Approve salary increases for faculty members who are receiving salary increases funded through the Faculty Recruitment and Retention Fund.

Board members who served on the Committee during the fiscal year July 1, 2014, through June 30, 2015 were: Mr. Frank Grainger, Mr. James Holmes, Mr. Marty Kotis, Mr. Therence Pickett, Mr. G.A. Sywassink, Mr. Phillip Walker, and Ms. Laura Wiley. The Committee officers were, Mr. G.A. Sywassink as Chair, Mr. Therence Pickett as Vice Chair, and Ms. Laura Wiley as Secretary.

In its designated role, the Committee on Personnel and Tenure reviews appointments of distinguished faculty for consideration and approval by the Board of Governors for campuses without *management flexibility*, salary increases in excess of 10% (*effective as of July 1, 2014 to comply with the 2014-15 State Appropriations Act*), and salaries that exceed the established range.

Pursuant to the 2014 State Appropriations Act, the cumulative salary adjustment allowed under this subsection for the 2014-2015 fiscal year may exceed ten percent (10%) of annual salary only if the adjustment is approved in advance by The University of North Carolina and/or the University of North Carolina Board of Governors.

The Committee and/or the President reviewed a total of 2,283 salary requests totaling \$28,019,992.27. This represents 4.756% of UNC employees, 0.427% of General Fund monies, and 0.337% of Non-General Fund monies.

Bi-annually, on recommendation of the President, the Committee considers and further recommends to the Board, specific salary ranges for chancellors of the constituent institutions, as well as salary ranges for EPA Non-Faculty positions. The FY 2015 EPA Salary Ranges were approved in June of 2014. A full review of Chancellor compensation was conducted in consultation with Buck Consulting. The recommended compensation structure was reviewed and approved in April 2015. The Committee also reviewed and approved the Clinical Faculty Salary Ceilings for the Schools of Medicine and Dentistry at UNC Chapel Hill and East Carolina University in June 2014. FY 2015 Salary Administration Guidelines were approved by the Committee in June 2014 as well.

An executive compensation plan has been established for Chancellors the previous year. Recommendations by UNC School of the Arts and UNC Asheville to include their newly appointed Chancellors in the executive compensation plan were approved.

Subcommittees convened for additional meetings to receive, review, and make recommendations on five (5) faculty appeals from constituent institutions for Board consideration.

In 2003, the Committee became responsible for coordinating the Board of Governors' Excellence in Teaching Awards program. The Committee presented each Teaching Award recipient with an engraved medallion and stipend check during their campus' spring commencement by the Board of Governors member in attendance. In

July the Committee received the Use of Funds report for the previous fiscal year. Nominations for the 2014-15 awards were reviewed and approved in January 2015 and awards were distributed during spring commencement ceremonies.

In July of 2014, the Committee distributed its “Annual Report for July 1, 2013 – June 30, 2014”. The Committee accepted the “Faculty Phased Retirement Report” in September 2014, the “Report on Post-Tenure Review” in October of 2014, the “Distinguished Professors Endowment Trust Fund” in February of 2015, and the “Annual Report on the Faculty Recruitment and Retention Fund” at their July 2014 meeting.

Several policies were reviewed and recommended for approval including Policy 1000.2.2 and 1000.2.3 which provides a waiver or tuition and fees for faculty and staff under certain conditions,

A divisional reorganization in the Chief Operating Officer division was reviewed and approved resulting in several title changes. These included The Vice President for Finance, Vice President for Advancement, and Vice President for Audit and Compliance. This reorganization required a realignment of salary ranges due to changing responsibilities. These were approved in September 2014. In December 2014, UNC General Administration received approval to establish a new SAAO Tier I Position within the Communications Division entitled Associate Vice President for Strategic Communications.

At Appalachian State University, the Committee approved a request to change the title of the current Chief of Staff to Vice Chancellor and Chief of Staff. This change was approved to recognize the senior administrative level at which the position functions.

The Committee authorized the President to establish a 457(b) plan option for the University in October 2014. The President was also authorized by the Committee to establish a plan, fund, program, or policy to address the circumstances of individuals affected by the Qualified Excess Benefit Arrangement. This authorization was also granted in October 2014.

The Committee received a tutorial on Board of Governors governance of University Employees, UNC Position and Salary Trends, and staffing ratios. These tutorials were given by staff at General Administration.

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The Board of Governors

COMMITTEE ON PERSONNEL AND TENURE STAFF TO THE COMMITTEE

ACADEMIC AFFAIRS

Junius Gonzales

Senior Vice President for Academic Affairs

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Dr. Gonzales leads the development and implementation of the academic mission of the University of North Carolina. He advises the UNC President and the Board of Governors on academic issues. He works with the Chancellors and Chief Academic Officers of the seventeen constituent institutions in the implementation and assessment of University-wide initiatives in academic affairs. All of the following reside in Academic Affairs: Research and Sponsored Programs, Academic Planning, Academic and Students Affairs, University-School Programs, Institutional Research and Analysis, Access and Outreach, Faculty Support, International Programs, the Academic Common Market, and Licensure.

Samantha McAuliffe

Director for Special Projects and Strategic Assessment

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Samantha is responsible for managing cross-functional projects within Academic Affairs and between Academic Affairs and other Departments. She is also the first point of contact and review for campuses submitting salary pre-approvals to the Board of Governors, tenure and promotion conferral requests for campuses without management flexibility, and campuses submitting requests for funding from the Faculty Recruitment and Retention Fund. She is the staff person to the Committee on Personnel and Tenure responsible for preparing and disseminating meeting materials, preparing meeting minutes and acts as a liaison between campuses and the Committee.

HUMAN RESOURCES

Matt Brody

Vice President for Human Resources and Equal Employment Opportunity Officer

msbrody@northcarolina.edu 919-962-4651

Mr. Brody works in collaboration with the senior human resource officers at the 17 constituent institutions of the University of North Carolina and the Office of State Personnel providing leadership and strategic direction for the delivery of human resource programs and services for University employees. He provides strategic consultation and guidance to senior administration and ensures that the human resource function is aligned with the mission of the University of



North Carolina. He oversees the development, supervision, and implementation of University-wide human resource policies and procedures.

Brian Usischon

Associate Vice President for Human Resources and University Benefits Officer
bmusischon@northcarolina.edu 919-962-4530

Mr. Usischon is responsible for overseeing the administration of all health, life, disability, flexible benefits and retirement programs. He has an extensive background in employee benefits and many years of experience providing consulting services to colleges and universities in the analysis, development, design and installation of employee benefit plans.

Glenda Farrell

Associate Vice President for Human Resources
gkfarrell@northcarolina.edu 919-962-4555

Ms. Farrell focuses on the broad areas of employment, equal opportunity and compliance, performance management, policy, and employee relations. She also serves as a consulting resource to the 17 campuses in facilitating effective and compliant HR and personnel functions, as well as serving as a liaison to the Office of State Human Resources

Jessica Moore

Executive Director for Classification and Compensation
jlmoore@northcarolina.edu 919-843-9100

Jessica focuses on position classification standards and procedures, salary range development and implementation, annual raise process administration, and oversight and administration of the salary increase pre-approval process for non-faculty positions across the UNC System. Jessica also support the implementation of executive compensation strategies in partnership with GA's Associate Vice President for Human Resources and University Benefits Officer.

Keith Dupuis

HR Consultant for Policy and Practice
kedupuis@northcarolina.edu 919-843-5479

Mr. Dupuis provides counsel and assistance to campus representatives about various HR policy and practices. He assists with the development of policies and procedures for General Administration programs and the General Administration Policy Committee with editing of current policies and research and development of new policies. Keith conducts an initial review of campus requests for the BOG Salary Approval Process for SPA and EPA Non-Faculty employees. He is also responsible for managing databases and files related to University-wide compensation and classification programs and assists with the development, implementation, and ongoing operation/maintenance of HR Data Mart.



LEGAL AFFAIRS

Thomas Shanahan

Senior Vice President for Legal Affairs and General Counsel
tcschanahan@northcarolina.edu 919-962-4588

Tom serves as the University's senior legal officer, providing advice and counsel to the president, Board of Governors, and senior staff on all legal and policy issues affecting the University. He oversees the development and implementation of policies and procedures to promote University-wide awareness of and compliance with applicable federal, state, and local laws, regulations, and administrative requirements.

Joanna Carey Cleveland

Vice President for Legal Affairs and Deputy University Counsel
jccleveland@northcarolina.edu 919-962-0533

Joanna provides legal advice and Legal Affairs Division leadership in a variety of areas, including employment law, student affairs, University policy development, and campus services. She is the staff attorney to the Committee on Personnel and Tenure.

Karin Szypszak

Legal Assistant to the Senior Vice President and General Counsel
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Ms. Szypszak assists with preparing Faculty Appeals and works with subcommittee members to schedule reviews.

The Board of Governors

COMMITTEE ON PERSONNEL AND TENURE Annual Reports

Fall

- Board of Governors Award for teaching Excellence Use of Funds Report
 - This report describes each campus' use of teaching award funds during the preceding year.
- Personnel and Tenure Annual Report
 - Annual report depicting the committee's activity from the prior year
- University Faculty Recruitment and Retention Fund Report
 - Report details the allocation of funding to campuses for purposes of recruitment and retention from the University of North Carolina Faculty Recruitment and Retention Fund
- Faculty Phased Retirement Report
 - Annual report describing the trends in the phased retirement program.
- Management Flexibility Report
 - Annual review of campuses awarded Management Flexibility to ensure compliance with University and Board of Governors policies.

Winter/Spring

- Post Tenure Review Report
 - Report on the outcomes of campus post-tenure reviews.
- Distinguished Professors Endowment Trust Fund Annual Report
 - Annual report of the activity of awards made from the Distinguished Professors Endowment Trust Fund
- Board of Governors Teaching Award Nominees
 - Review and approve campus nominees for the Board of Governors Excellence in Teaching Award

Ongoing

- President's Summary Personnel Report
 - Pursuit to UNC Policy 200.6, this report details delegated personnel actions that the President has taken since the last committee meeting. These include administrative appointments at UNC General Administration and approvals for funding from the Faculty Recruitment and Retention Fund.

- Salary Pre-Approval Requests
 - At each meeting the Committee will review and approve salary increase requests from campuses.
 - Delegated Salary Actions