

# ADMINISTRATIVE MEMORANDUM

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**SUBJECT** Amendments to Board of Governors' Policy  
Statement on External Professional Activities  
of Faculty and Other Professional Staff

**NUMBER** 200

**DATE** June 14, 1984

The Board of Governors has adopted amendments to the above-titled policy, and these amendments are effective July 1, 1984. The Board adopted the original policy in 1979, and it was discussed in Administrative Memorandum No. 129, December 5, 1979. Please refer again to that Memorandum.

The amended policy statement as approved by the Board of Governors on June 8, 1984, is attached. Please note that the amended policy provides that summary reports be prepared by each Chancellor and that they be submitted to the President (Section 3.e.) each September. To deal with the question of conflict of interest, a new standard has been added in the policy statement as item (2) under Section 1.b., and three new items (5., 6.a., and 6.b.) have been added to the "Notice of Intent" form to deal with this issue. If the answer to item 5., or item 6.a., or item 6.b. is affirmative and if the department head approves the activity, then additional review and approval are required (Section 3.d.). In addition, in the interest of clarity, other minor changes have been made in the "Notice of Intent" form and in the policy statement.

You are asked to inform all faculty and other covered professional staff of these amendments and to publicize and disseminate the amended policy statement as adopted by the Board. Please continue to give your personal attention to insure that the Board's policy is effectively and consistently administered and monitored. Note also that a summary report for 1983-84 is to be submitted by September, 1984, to this office. A common format for this report will be sent to you soon.

  
\_\_\_\_\_  
William Friday

Attachment

The Board of Governors of  
The University of North Carolina

POLICY STATEMENT ON EXTERNAL PROFESSIONAL ACTIVITIES  
OF FACULTY AND OTHER PROFESSIONAL STAFF

SECTION 1. UNIVERSITY POLICY

a. Professional Affiliations and Public Service

The University of North Carolina and its constituent institutions seek to appoint and to retain, as faculty and other professional staff members, individuals of exceptional competence in their respective fields of professional endeavor. The University and the constituent institutions therefore encourage these individuals to participate in professional activities and to maintain professional affiliations based on their areas of knowledge and interest. These activities include those undertaken as members of professional associations and learned societies; membership on review or advisory panels; presentation of lectures, papers, concerts, or exhibits; participation in seminars and conferences; preparation, review, or editing of scholarly publications; and membership on accreditation bodies. Such activities performed for nominal honoraria or reimbursement of expenses or both are encouraged so long as they do not conflict or interfere with the performance of University duties and responsibilities, and they shall not be subject to the procedures defined in Section 3.

b. External Professional Activities for Pay

Because of their competence in their areas of special knowledge and interest, faculty and other professional staff are also invited by various public and private organizations to provide, for pay, consultation and other professional services. By engaging in these external professional activities for pay, these individuals have an opportunity through the practical application of their professional knowledge to enhance their own capabilities in teaching, research, and other University service. Participation of faculty and other professional staff in external professional activities for pay is therefore an important characteristic of academic employment that often leads to significant societal benefits. However, these external professional activities for pay are to be undertaken only if they do not:

- (1) interfere with the primary obligations of the individual to carry out all University duties and responsibilities in a timely and effective manner; or
- (2) create a conflict of interest with the individual's University duties and responsibilities; or
- (3) involve any inappropriate use or exploitation of University facilities, equipment, personnel, or other resources; or
- (4) make any use of the name of The University of North Carolina or of any of its constituent institutions for any purpose other than professional identification; or

- (5) claim any University or institutional responsibility for the conduct or outcome of such activities.

The following definitions and procedures are established to insure equity and consistency in carrying out this policy.

## SECTION 2. DEFINITIONS

- a. "External professional activities for pay" means any activity that (1) is performed for an entity other than a constituent institution or other agency or unit of The University of North Carolina; (2) is based upon the professional knowledge, experience, and abilities of the faculty or other professional staff member; and (3) is undertaken for compensation to the individual (beyond the payment of a nominal honorarium or reimbursement for expenses or both).
- b. "Faculty or other professional staff member" means any person who is employed full-time by a constituent institution or other agency or unit of The University of North Carolina and who is not subject to the State Personnel Act.
- c. "Department" means an academic department, a professional school without formally established departments, or any other administrative unit so designated by the Chancellor of a constituent institution, or by the President for the General Administration, for the purposes of implementing this policy.

## SECTION 3. PROCEDURES

- a. A faculty or other professional staff member who wishes to engage in external professional activity for pay shall complete the "Notice of Intent to Engage in External Professional Activity for Pay" (hereinafter referred to as "Notice of Intent"), which shall be filed with the head of the department in which the individual is employed. Unless there are exceptional circumstances, the "Notice of Intent" shall be filed not less than ten (10) calendar days before the date the proposed external professional activity for pay is to begin.
- b. Approval is granted for each activity for no more than one calendar year at a time, unless an exception is approved by the Chancellor (or, in the General Administration, by the President).
- c. Except as set out in paragraph "d" below, the "Notice of Intent" shall be considered as follows: If, after a review of the "Notice of Intent" and consultation with the faculty or other professional staff member, the department head determines that the proposed activity is inconsistent with this policy statement of the Board of Governors, the faculty or other professional staff member shall be notified of that determination within ten (10) calendar days of the date the "Notice of Intent" is filed. In the event of such notification by the department head, the faculty or other professional staff member shall not proceed with the proposed activity but may appeal that decision to the administrative officer to whom the department head reports, and then to the Chancellor (or, in the General Administration, to the President). A decision on any such appeal shall be given

to the faculty or other professional staff member within ten (10) calendar days of the date on which the appeal is received. The decision of the Chancellor (or of the President) shall be final. Appeals shall be made in writing on the "Notice of Intent" form.

d. If question 5, question 6a, or question 6b on the "Notice of Intent" is answered in the affirmative, the procedure set out in paragraph 3.c above shall be modified as follows: The decision of the department head to approve the activity shall be reviewed promptly and approved or disapproved by the administrative officer to whom the department head reports, and appeal of a disapproval by that officer shall be to the Chancellor (or, in the General Administration, to the President).

e. Departmental summaries of all "Notices of Intent" filed and of actions taken in response to such "Notices of Intent" during the preceding twelve months shall be submitted by department heads to the Chancellor (or, in the General Administration, to the President) each July. The Chancellors shall provide annual summary reports to the President by September 1 of each year, beginning September 1, 1984.

#### SECTION 4. SPECIAL PROVISIONS

a. External professional activities for pay performed for another institution or agency of the State of North Carolina shall be in conformity with State policies governing dual employment and compensation, unless an exception to those State policies is expressly authorized by the Chancellor or the President.

b. The procedures in Section 3 shall not be required of faculty and other professional staff members serving on academic year contracts, if the external professional activity for pay is wholly performed and completed between the day following spring commencement and the first day of registration for the fall semester, provided that the activity does not conflict with this policy statement of the Board of Governors and is not conducted concurrently with a contract service period for teaching, research, or other services to the institution during a summer session.

#### SECTION 5. EFFECTIVE DATE

This policy statement shall become effective on July 1, 1984.

Date \_\_\_\_\_

\_\_\_\_\_ (name) intends to engage in external professional activity for pay under the following conditions:

1. Name and address of contracting organization: \_\_\_\_\_  
\_\_\_\_\_
2. Beginning and ending date of activity \_\_\_\_\_
3. a. On average, how many hours per week will be devoted to this activity?  
\_\_\_\_\_
- b. Total number of hours to be devoted to activity \_\_\_\_\_
- c. What classes, meetings, or other University duties will be missed?  
\_\_\_\_\_
- d. What arrangements have been made to cover any such duties missed?  
\_\_\_\_\_
4. Nature of Professional Activity: \_\_\_\_\_  
\_\_\_\_\_
5. To your knowledge, does the contracting organization above provide funding which directly supports any of your University duties or activities?  
☐ Yes\*      ☐ No
6. To be completed if the contracting organization is a private firm:
  - a. Do you or any member of your immediate family own an equity interest in the contracting organization? ☐ Yes\*      ☐ No
  - b. Do you hold an office in the contracting organization? ☐ Yes\*      ☐ No

Performance of the above described activity is consistent with the Board of Governors' Policy on External Professional Activities.

\_\_\_\_\_  
Signature\_\_\_\_\_  
Department\_\_\_\_\_  
Academic Rank or Job Title\_\_\_\_\_  
Administrative Title (if any)-----  
ADMINISTRATIVE ACTION ON NOTICE OF INTENT

Reviewed; activity determined to be consistent with University policy

\_\_\_\_\_  
Date\_\_\_\_\_  
Department Head\_\_\_\_\_  
Date\_\_\_\_\_  
Dean or Other Administrative Officer

Other action (as required): \_\_\_\_\_

\_\_\_\_\_  
Date\_\_\_\_\_  
Department Head\_\_\_\_\_  
Date\_\_\_\_\_  
Dean or Other Administrative Officer

\* Approval by Dean or other administrative officer to whom Department Head reports is required if question 5, or question 6.a., or 6.b. is answered in the affirmative.