

NC STATE UNIVERSITY

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October 18, 2002

Dr. Gretchen M. Bataille
Senior Vice President for Academic Affairs
The University of North Carolina
Office of the President
P.O. Box 2688
Chapel Hill, NC 27515-2688

Dear Dr. Bataille:

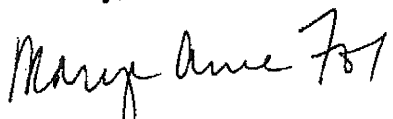
Enclosed is North Carolina State University's Institutional Plan for Management Flexibility for Personnel Issues, pursuant to the University of North Carolina Board of Governors' Policy on Granting of Management Flexibility To Appoint and Fix Compensation. The plan, approved by the NC State Board of Trustees at its Friday, September 20, 2002 meeting, incorporates your recommended changes and additions.

As an enclosure to the revised plan, I have provided a summary of your recommended changes and our responses and additions, including a detailed appointment approval process chart.

On behalf of the Board of Trustees and the NC State administration, I ask that you place our plan on the Board of Governors' November meeting agenda.

Again, thank you for your counsel and assistance throughout the process of preparing our plan. If you have any questions, please contact me.

Sincerely,



Marye Anne Fox
Chancellor

Enclosures

cc: Peaches Gunter Blank, Chair, NC State Board of Trustees
Stuart L. Cooper, Provost and Vice Chancellor for Academic Affairs

North Carolina State University

Institutional Plan for Management Flexibility for Personnel Issues Pursuant to The Board of Governors' Policy on Granting of Management Flexibility To Appoint and Fix Compensation

September 2002

North Carolina General Statute sections 116-40.21 and 116-40.22 empower the Board of Governors of the University of North Carolina to authorize management flexibility for any special responsibility constituent institution. Under management flexibility, the board may authorize the board of trustees of any special responsibility constituent institution "to, on recommendation of the chancellor, appoint and fix compensation of all vice chancellors, senior academic and administrative officers, and any person having permanent tenure at that institution." Pursuant to the general statute, the Board of Governors adopted, on January 11, 2002, Policy #600.3.4 entitled "Granting of Management Flexibility to Appoint and Fix Compensation."

The NC State Board of Trustees endorsed Chancellor Fox's recommendation of April 19, 2002 that the institution seek management flexibility as provided in the general statute and Board of Governors' policy. This document provides the information requested for consideration by the Board of Governors in making the decision regarding management flexibility.

- 1. Policies and procedures for recruitment and selection of Senior Academic and Administrative Officers, and a campus policy for promotion and tenure that complies with the *Code of the University of North Carolina* and current federal law, provides for periodic pre-tenure, tenure and promotion review at multiple levels, and provides clear requirements for promotion and conferral of permanent tenure.**

Policy and Procedures for Recruitment and Selection of Senior Academic and Administrative Officers

Board of Trustees Policy 04.01, "Search and Selection Process for University Senior Academic and Administrative Officers (Tier I)" governs the recruitment and selection of senior academic and administrative officers (SAAO) [See Attachment 1 or <http://www.fis.ncsu.edu/ncsulegal/04.01-search.htm>]. The *Hiring Procedures Manual* (http://www.ncsu.edu/equal_op/hiring/hpm2000.html) provides guidance on the selection process for all EPA personnel, including SAAO. The section describing the SAAO category and the section describing the search and selection process are in Attachments 2 & 3.

Campus Policy for Promotion and Tenure: Summary of Practices

The following describes what is known as the "tenure clock." Entry level faculty are normally appointed at the rank of assistant professor to a four-year term. Before the end of the third year of the term, a decision is made whether to reappoint to an additional three-year term at the conclusion of the initial four-year term or not to reappoint. If reappointed, before the end of the second year of the second term (*i.e.*, the 6th year of service) a decision is made whether or not to promote and confer permanent tenure. If the decision is to promote and confer tenure, promotion and tenure conferral become effective at the end of the penultimate year. If the decision is not to promote to associate professor and confer permanent tenure, the individual's appointment ends at the end of the final year of the second term.

After promotion to associate professor and conferral of permanent tenure the individual may be considered for promotion to professor, based on the quality and impact of the person's work. Promotion to professor is usually considered after about 6 years as associate professor, but there is no time clock associated with promotion to professor.

Individuals coming to the faculty with accomplishments and qualifications judged to merit appointment at the rank of associate professor may be appointed with or without permanent tenure. If appointed to an initial term without permanent tenure, a decision whether to confer tenure must be made before the end of the penultimate year of the appointment term; if the decision is not to confer permanent tenure, the individual's appointment ends at the end of the final year of the term.

Individuals coming to the faculty with accomplishments and qualifications judged to merit appointment at the rank of professor are appointed at that rank with permanent tenure.

Initial appointments are made by the chancellor, subject to appropriate board approvals, based on recommendations from the appropriate departmental faculty, department head, dean, and provost. At the beginning of the appointment of a new faculty member, the faculty member develops, with the assistance of the department head, a statement of mutual expectations, which describes the areas of work and application of criteria for the faculty member. This statement is revisited in the course of the appointment in the event the direction and nature of work of the individual changes.

Reappointments, promotions and conferrals of tenure are made by the chancellor, subject to appropriate board approval, based on the results of reviews that assess the quality and impact of the individual's work relative to university, college, and department criteria. The provost is responsible for defining and guiding the

overall review processes consistent with policy. The reviews include extensive faculty peer review at the department and college levels based on detailed dossiers that present the expectations, self-assessment, and accomplishments of the faculty member in a uniform manner. The department solicits evaluations of scholarly contributions of individuals from distinguished scholars at other institutions, and the written evaluations of these individuals are included with the review materials at all levels. Written summary assessments from the department and college deliberations are provided to the faculty member along with recommendation by the department head and the dean of the college, and the faculty member is provided opportunity to respond in writing at each level. Once a review is initiated, each case is reviewed at each level unless withdrawn by the faculty member.

The chancellor, in consultation with the provost, the vice chancellor for extension and engagement, and the vice chancellor for research and graduate studies, makes the decision **when conferral of tenure is not the issue and makes the recommendation to the Board of Trustees in cases of tenure conferral.**

Before a decision is reached, a university level faculty committee of faculty at the rank of professor, appointed by the provost in consultation with the chair of the faculty, reviews all cases in order to make an assessment of the quality of the process and the underlying policies and procedures. The committee advises the provost of any specific concerns, and it also provides a summary report to the chair of the faculty. In rare cases, this committee may also be asked by the provost to provide an assessment on individual cases to assist in the decision process.

Provision can be made for extending the tenure clock in the face of well-documented extenuating circumstances or conditions that significantly affect an individual's progress. For example, the granting of a family medical leave may justify an extension. In cases of extensions, the term of appointment is extended, usually by one year, at the time that the extenuating circumstance is determined.

All faculty are reviewed annually by their department heads. These reviews provide for evaluation of progress toward the goals and aspirations of the faculty member as well as feedback on performance. For pre-tenure faculty, the reviews evaluate continued professional development and feedback regarding progress towards tenure. For faculty for whom permanent tenure has been conferred, the reviews provide for continued professional development and basis for more extensive comprehensive review at regular intervals, called at some universities "post tenure review." These comprehensive reviews include in depth peer review by peer faculty at the department level, and may result in specific recommendations for improvement that must be considered in the ongoing assignments of the faculty member. Comprehensive review of each tenured faculty member must occur no less frequently than every five years.

Campus Policy for Promotion and Tenure: Supporting Policies and Procedure Documentation

Board of Trustees policy 21.01, "Tenure Policies and Regulations," governs the appointment, promotion, and conferral of tenure for faculty; it is appended as Attachment 4 and available online at <http://www.fis.ncsu.edu/ncsu/legal/21.01-tenure.htm>. The policy has been recently revised to make explicit the processes for multilevel review and to update the policy in other areas; the revision has been approved by the Board of Trustees and is currently under review in the Office of the President for final approval¹.

As provided in 21.01, qualifications for rank are approved by the chancellor and published in the *Faculty Handbook*. A copy is appended as Attachment 5 and available online at <http://www.ncsu.edu/provost/fh/qualrank.htm>. These criteria provide the basis for departmental and college criteria, which are more specific to the associated disciplines and fields of study. College criteria and process are subject to approval by the provost, and departmental criteria and process are subject to approval by the dean of the college in which the department is administratively located. The college and departmental criteria are available online at http://www.ncsu.edu/provost/academic_affairs/rpt/guidelines/.

The details of the reappointment, promotion, and tenure process are provided at http://www.ncsu.edu/ncsu/provost/academic_affairs/rpt/, a site which is maintained by the Office of the Provost, annually updated, and used throughout the campus as a convenient reference; the opening page from the site is appended as Attachment 6.

The procedures for comprehensive review of tenured faculty are contained, under the heading, "Reviews," in the *Faculty Handbook*, appended as Attachment 7, and available online at: http://www.ncsu.edu/ncsu/provost/academic_affairs/crtf/, where one may also review the departmental criteria and procedures for comprehensive review.

2. A schedule and process for periodic review of promotion and tenure policies and a process for amending promotion and tenure policies that includes review by the Office of the President.

The University Reappointment, Promotion, and Tenure Committee, referred to above, is composed of 13 distinguished faculty and appointed annually by the provost in consultation with the chair of the faculty. The committee is charged to review the processes each year and make recommendations for any modifications in the policy or the implementing procedures. When amendments are required, the Faculty Senate, the deans, and academic department heads, and the executive

¹ The revised academic tenure policy, currently under review in the Office of the President, is appended as Attachment 4a and is available online at http://www.ncsu.edu/provost/fh/tenure_pending/21.01-tenure.htm.

officers review them with final advisory action by the University Council. Upon recommendation of the University Council and approval by the chancellor, policy amendments are proposed by the chancellor to the Academic Affairs and Personnel Committee of the Board of Trustees for review and subsequent approval by the board. Board-approved amendments are submitted to the Office of the President for review and further action as needed.

3. Salary ranges, based on relevant data, for vice chancellors, provosts, deans, and other similarly situated senior academic and administrative officers that are not included in the annual Board of Governors' study establishing salary ranges.

The Office of the President sets salary ranges for certain SAAO-Tier-I positions (chancellor and vice chancellors) based on data for peer institutions from the College and University Professional Association for Human Resources (CUPA-HR) and targeting the 80th percentile of our peers. The Chancellor and appropriate executive officers will develop salary ranges for other administrators, including deans and SAAO Tier-II positions not included in the Board of Governors' salary ranges, taking into consideration a variety of factors, including market forces, comparison with peers, and fiscal responsibility.

To this end, the university will review salary ranges on an annual basis using data provided by the Office of the President, CUPA-HR Administrative Compensation, the University of Alabama (UA) administrative survey, and data from the Southern Universities Group (SUG). Adjustments to the ranges will be made as needed, using an inflation factor plus relevant data from the surveys. Target salaries will be determined (80th percentile or average in market) based on the level of the position in the university, i.e., an associate vice chancellor (80th percentile) and a director (average market salary).

4. Evidence of comprehensive salary studies that establish salary ranges for tenured faculty within different disciplines based on relevant data.

The Office of the Provost, through University Planning and Analysis, obtains faculty salary studies from a variety of sources. The university participates in four data exchanges that provide comparative information on faculty salaries. The Oklahoma State University (OSU) faculty salary survey is used by soliciting OSU data from our peer institutions. The OSU report provides salary range and mean by academic disciplines, gender, and ethnicity. The OSU participating institutions are identified in Attachment 9 and available online at http://www.okstate.edu/pbir/IR/FacultySalary/Participants_2001.html. The university also uses the report on salary of the American Association of University Professors (AAUP) to compare faculty salaries by rank to our peer institutions (See Attachment 8 or http://www2.acs.ncsu.edu/UPA/peers/current/ncsu_peers/peerlinks_ncsu.htm). Other sources, though less used, include CUPA's salary report and the US Department of

Education's Integrated Postsecondary Education Data System (IPEDS). This information provides general guidelines; however, the various departments may have additional peers from which information is obtained.

Every year since 1982, NC State has conducted an analysis of faculty salary equity based on discipline, rank, time in service, gender, race, and other variables. This regression analysis was modeled on an AAUP research design. In 2001, we engaged in an in-depth review and revision of the research design. The provost, deans, and department heads use the results to assist in evaluating and correcting for any race and/or gender bias in salaries.

5. Policies governing the compensation of faculty and non-faculty EPA from non-state sources such as grants, endowment funds, practice plan funds, etc.

Grants and Contracts

Faculty and non-faculty EPA may be compensated all or in part from grants and contracts, and any salary payment must comply with federal regulations outlined in OMB Circular A21. Usually individual faculty members are fully compensated for the academic year (nine months) from state sources. They may, however, have a portion of their state salaries replaced by funds from the granting or contracting entity, the proportion reflecting the level of effort allocated to the grant or contract. The released state salary funds are generally used to provide replacement for effort redirected to the grant or contract.

Faculty who are on academic year (nine months) appointments may also receive from a grant or contract salary for the summer months at the same monthly rate as the nine-month salary. The degree to which state salary is supplanted or supplemented by grant or contract support varies from time to time. Some faculty are employed on the condition that substantial external funds from grants and/or contracts are available to provide a portion of the salary; in these cases the state portion of the salary is less than 100% and there is no released salary associated with the arrangement.

Endowment-Supported Professorships

Faculty may be awarded endowment-supported professorships and chairs through a nomination process that includes review by a committee of distinguished scholars. For every professorship or chair of this kind, there is an endowment agreement through which the university and a benefactor agree on the level of endowment and the use of the proceeds from investing the endowment. Typically, a salary supplement is provided -- usually approximately 20% of the base state salary.

Practice Plans

While the College of Veterinary Medicine operates clinical services, the practice plan does not include any supplemental or direct supplanting of faculty salaries.

External Professional Activity for Pay

Faculty and non-faculty EPA employees may, with the approval of their unit heads, be engaged in a professional activity for pay by outside entities. The university adheres to the Board of Governors policy on External Professional Activities of Faculty and Other Professional Staff as published in Chapter III, Section F of the *UNC Administrative Manual*.

Related Policy and Practice Documents:

The Faculty Handbook gives the provisions on supplemental pay; a copy of the appropriate section is appended as Attachment 10 and is available online at <http://www.ncsu.edu/provost/fh/salary.htm>.

6. Policies governing any non-salary compensation of faculty and non-faculty EPA

~~The chancellor and various university advancement officers have the use of ears under the auspices of the NC State Foundation.~~ **The Board of Trustees has the authority to approve any non-salary compensation from all sources of funds for all Vice Chancellors and Senior Academic and Administrative Officers for which the Board of Governors establishes salary ranges. The Chancellor has the authority to approve any non-salary compensation from all sources of funds for deans and other administrators that are not included in the Board of Governors' study establishing salary ranges. The approval of non-salary compensation may be based on any reason or reasons considered relevant to attracting and retaining personnel of the highest possible quality. The approval of non-salary compensation may not be based in whole or in part on any illegal factor such as the employee's race, sex, religion, national origin, age, disability, or veteran status, nor shall it be inconsistent with university policies and regulations. The Chancellor may approve such non-salary compensation either explicitly on a case-by-case basis or by approval of regulations that pertain to personnel in certain categories. Only the Board of Governors can approve non-salary compensation for the Chancellor.**

The Department of Athletics has a policy governing courtesy vehicles (Attachment 11). Other non-salary benefits awarded to Coaches and EPA Staff, including but not limited to football and men's basketball tickets, University Club memberships, courtesy vehicle insurance, parking, etc., are awarded according to position level within the Department of Athletics.

All non-salary compensation shall be appropriately treated to conform with all federal and state tax laws.

- 7. Documentation that the campus has not had audit findings related to personnel practices, salary or payroll for the previous three years or evidence that any findings have been remedied.**

There have been no findings in these areas from state and federal audits. Copies of the letters from the Office of State Auditor are provided as Attachment 12.

- 8. Evidence of appropriate accountability procedures in the event that the Board of Trustees delegates the authority granted pursuant to this policy to the Chancellor or the designee of the Chancellor.**

In the event the Board of Trustees delegates authority granted pursuant to the management flexibility policy to the chancellor or chancellor's designee, regular annual summary reports will be made to the Academic Affairs and Personnel Committee of the board.

**RESPONSE TO
10/2/02 OFFICE OF THE PRESIDENT REVIEW AND COMMENTS
CONCERNING
NORTH CAROLINA STATE UNIVERSITY'S
PLAN FOR MANAGEMENT FLEXIBILITY
FOR PERSONNEL APPOINTMENTS**

October 18, 2002

Responses are provided in context with the review comments received from the Office of the President. References are made to the sections of the plan that have been clarified.

I. The comments in this section relate to the Management Flexibility Policy, 600.3.4, as amended, setting out the essential elements of a Management Flexibility Plan.

A. Policies and procedures for the recruitment and selection of senior academic and administrative officers

Since "Tier I" and "Tier II" are not terms set out in the Code or the Policy Manual when referring to Senior Academic and Administrative Officers, we recommend removing the "tier" references from your plan and any policies. (See pages 1, 5 of Plan; and title, 1.1, 1.2, 1.4 of Policy 4.01, and any other places the phrase appears.)

In Policy 1.2, we recommend where removing the "Tier I" reference, changing it to read: "involving SAAO positions reporting directly to the Chancellor."

Response: The "Tier I" and "Tier II" terminology was removed from Item 3 on page 5. Senior Vice President Bataille informed Vice Chancellor and University Counsel Kurz on 10/9/02 that changes in the policy are not required.

B. Campus policy for promotion and tenure— recommended for approval

You will be receiving a separate letter approving your new Academic Tenure Policy.

C. Schedule and process for periodic review of promotion and tenure policies and post-tenure review policies— recommended for approval

D. Salary ranges for administrators— recommended for approval

E. Comprehensive faculty salary studies— recommended for approval

F. Policies on compensation from non-state sources— recommended for approval.

G. Policies governing non-salary compensation.

This section needs to be clarified as to the criteria for allocation of courtesy cars outside the Athletics Department. Also, you should indicate that non-salary compensation benefits are treated appropriately pursuant to tax requirements.

Response: Non-salary compensation criteria and approval authorities, and its accounting for federal and state tax purposes, were clarified in Item 6 on page 7.

H. Documentation on any audit findings related to personnel— recommended for approval

I. Accountability procedures if authority is delegated

In the section of your plan discussing faculty hiring, promotion, and tenure, be certain that it correctly distinguishes between those actions concerning faculty which are taken only by the Board of Trustees upon recommendation of the chancellor, and those decisions which may be delegated to the chancellor. This is especially needed in the area that discusses the awarding of tenure.

Response: In the response to Item 1 (pages 1- 4), on page 4 in the second paragraph, it is made clear that when a personnel decision involves the conferral of tenure, the chancellor makes that recommendation to the Board of Trustees.

Please send an indication that the Board of Trustees has approved the Management Flexibility Plan.

Response: Included in transmittal letter from Chancellor Fox

Also, please attach a version of the Approval Authority for Personnel chart, modified to the policies of your campus.

Response: Attached

II. The comments in this section are considered important in regard to approval of management flexibility for personnel appointments, pursuant to Policy 600.3.4. We need a response as to how you plan to address these matters.— none

III. The following comments are not critical to the approval process for management flexibility. However, because the materials submitted were reviewed, and observations made regarding those policies, it seemed worthwhile to provide you with the following comments, questions, and suggestions. You are not obligated to respond to the items listed below. If you find any of them useful and want to incorporate any of them into policies, now or upon the next review, that is your decision. They are simply offered in the spirit of collegial assistance.

In Policy 4.01, Sec. 2.1.2, a word is omitted in the first line after "Chancellor or."

Neither your Plan nor Policy 4.01 indicates that any training is provided to interviewers.

Due to the three (3) year statute of limitations for certain civil rights lawsuits, we strongly recommend that you retain application files, interview notes, etc. for a minimum of three and a half (3 ½) years. (Attachment 2, Sec. B references a Chapter 4 that discusses the requirements for records retention. Since that Chapter was not provided, we do not know if it responds to this concern. But in Section D of the same Chapter, the fourth paragraph mentions saving search materials for only two years.)

In Attachment 3, Sec. A, number 1, the third paragraph, a word is omitted in the second line after "advertised every."

In the new Academic Tenure Policy, at least one tracked change was not eliminated in the final version. See 6.4.4.

Conclusion:

Your policies seem in very good shape.

NC State University
Processes for Appointments, Promotions, and Compensation Actions ¹
for Positions Exempt from the State Personnel Act (EPA)
Consistent with Current Policies and Regulations

A. Faculty

	Action	Approval Required on Action
1	Appointment or reappointment to a non-tenure track faculty position (except Librarian)	Provost
2	Appointment or reappointment to a Librarian position	Provost
3	Appointment or reappointment to a tenure track position	Provost → Chancellor → BOT ²
4	Appointment or reappointment as an academic department head	Provost
5	Appointment to a tenured position	Provost → Chancellor → BOT ²
6	Conferral of tenure to an existing faculty position	Provost → Chancellor → BOT ²
7	Promotion of a tenured faculty member	Provost → Chancellor
8	Promotion of a current faculty member to a tenured position	Provost → Chancellor → BOT ²
9	Appointment to a professorship of distinction with the conferral of tenure	Provost → Chancellor → BOT ²
10	Appointment of a tenured faculty member to a professorship of distinction	Provost → Chancellor
11	Conferral of emeritus status	Provost → Chancellor → BOT ²
12	Salary increase that results in a salary that is greater than or equal to 15% above the previous June 30th salary ³	Provost → Chancellor → BOT ² → BOG
13	Salary increase that results in a salary that is less than 15% above the previous June 30th salary ^{3,4}	Chancellor (or Provost ⁵)
14	Temporary supplement/stipend	Chancellor (or Provost ⁵)

NC State University
Processes for Appointments, Promotions, and Compensation Actions ¹
for Positions Exempt from the State Personnel Act (EPA)
Consistent with Current Policies and Regulations

B. EPA Non-Faculty (i.e., EPA Professionals)

	Action	Approval Required on Action
1	Appointment or reappointment (does not include a faculty rank)	Executive Officer ^{6,7}
2	Appointment or reappointment (includes a faculty rank)	Executive Officer ^{6,7} and Provost
3	Appointment or contract renewal of a head coach	OLA Review → Chancellor → BOT ² (approved contract forwarded to UNC-OP as an information item)
4	Temporary appointment	Executive Officer ^{6,7}
5	Conferral of emeritus status	Executive Officer ^{6,7} → Chancellor → BOT ²
6	Salary increase that results in a salary that is greater than or equal to 15% above the previous June 30th salary ³	Executive Officer ^{6,7} → Chancellor → BOT ² → BOG
7	Salary increase that results in a salary that is less than 15% above the previous June 30th salary ^{3,4}	Executive Officer ^{6,7}
8	Temporary supplement/stipend	Executive Officer ^{6,7}

NC State University
Processes for Appointments, Promotions, and Compensation Actions ¹
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C. SAAO-I ⁸ as it applies to the Chancellor

	Action	Approval Required
All appointment and salary issues are handled by the UNC-Office of the President and the Board of Governors		

NC State University
Processes for Appointments, Promotions, and Compensation Actions ¹
for Positions Exempt from the State Personnel Act (EPA)
Consistent with Current Policies and Regulations

D. SAAO-I ⁸ as it applies to the Vice Chancellors and Provost

	Action	Approval Required
1	Appointment (does not include a faculty rank)	Chancellor → BOT ²
2	Appointment (includes a faculty rank)	Chancellor → BOT ²
3	Temporary appointment	Chancellor
4	Conferral of emeritus status	Chancellor → BOT ²
5	Retreat rights (administrator with tenure returning to faculty)	Chancellor → BOT ²
6	Salary increase that results in a salary that is greater than or equal to 15% above the previous June 30th salary ³	Chancellor → BOT ² → BOG
7	Salary increase that results in a salary that is less than 15% above the previous June 30th salary ^{3,4}	Chancellor → BOT ²
8	Temporary supplement/stipend	Chancellor

NC State University
Processes for Appointments, Promotions, and Compensation Actions ¹
for Positions Exempt from the State Personnel Act (EPA)
Consistent with Current Policies and Regulations

E. SAAO-I ⁸ as it applies to Deans and SAAO-I positions for which the BOG does not establish salary ranges

	Action	Approval Required
1	Appointment	Provost → Chancellor
2	Temporary appointment	Provost → Chancellor
3	Conferral of emeritus status	Provost → Chancellor → BOT ²
4	Salary increase that results in a salary that is greater than or equal to 15% above the previous June 30th salary ³	Provost → Chancellor → BOT ² → BOG
5	Salary increase that results in a salary that is less than 15% above the previous June 30th salary ^{3,4}	Provost → Chancellor
6	Temporary supplement/stipend	Provost → Chancellor

NC State University
Processes for Appointments, Promotions, and Compensation Actions ¹
for Positions Exempt from the State Personnel Act (EPA)
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F. SAAO-II ⁹

	Action	Approval Required
1	Appointment or reappointment, except Director of Athletics, (does not include a faculty rank)	Executive Officer ^{6,7}
2	Appointment or reappointment, except Director of Athletics, (includes a faculty rank)	Executive Officer ^{6,7} and Provost
3	Appointment or reappointment as Director of Athletics	Chancellor → BOT ²
4	Temporary appointment	Executive Officer ^{6,7}
5	Conferral of emeritus status	Executive Officer ^{6,7} → Chancellor → BOT ²
6	Salary increase that results in a salary that is greater than or equal to 15% above the previous June 30th salary ³	Executive Officer ^{6,7} → Chancellor → BOT ² → BOG
7	Salary increase that results in a salary that is less than 15% above the previous June 30th salary ^{3,4}	Executive Officer ^{6,7}
8	Temporary supplement/stipend	Executive Officer ^{6,7}

NC State University
Processes for Appointments, Promotions, and Compensation Actions ¹
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Acronyms

BOG	Board of Governors, The University of North Carolina
BOT	Board of Trustees, NC State University
OLA	Office of Legal Affairs, NC State
SAAO-I	Senior Academic and Administrative Officer-I
SAAO-II	Senior Academic and Administrative Officer-II
UNC-OP	University of North Carolina - Office of the President

Footnotes

¹ Following review by the Office of Equal Opportunity and Equity for adherence to equal opportunity procedures, the Division of Human Resources, and approvals at the department and college/division levels (source authority: UNC Code; BOT Policy 01.03; and BOT Policy 04.02).

² Board of Trustees has delegated approval authority to its Academic Affairs and Personnel Committee.

³ Approval authority is the same regardless of source of funding.

⁴ The Chancellor delegates to the Provost, the Vice Chancellors, and the Director of Athletics final approval authority for initial compensation and increases in compensation of less than 15% of the previous June 30th salary provided the increase will not result in a salary greater than 90% of the salary of the employee's immediate supervisor. If the resulting salary is greater than 90% of the salary of the employee's immediate supervisor, then the Chancellor's approval is required.

⁵ The Provost has approval authority for non-tenure-track faculty.

⁶ Executive Officer includes: Chancellor, Provost and Vice Chancellor, Vice Chancellors, Executive Assistant to the Chancellor and Secretary of the University, and Director of Athletics.

⁷ For their respective units.

⁸ SAAO-I: as defined by UNC Policy 300.1.1., Section I. A. - chancellors, vice chancellors, provost, deans, and directors of major administrative, educational, research, and public services activities.

⁹ SAAO-II: as defined by UNC Policy 300.1.1., Section I.B. - assistant/associate vice chancellors, assistant/associate deans, vice provosts, assistant/associate vice provosts, and other administrative positions within the constituent institutions that have been approved by the president.

November 8, 2012

ADDENDUM of UPDATES to

NORTH CAROLINA STATE UNIVERSITY'S

INSTITUTIONAL PLAN for MANAGEMENT FLEXIBILITY

(Originally dated September 2002, with final version transmitted to UNC on October 18, 2002)

Page	POLICY / TOPIC	OLD URL LINK / REFERENCE	UPDATED URL LINK / REFERENCE
1	Search and Selection Process for University Senior Academic and Administrative Officers (Tier I)	http://www.fis.ncsu.edu/ncsulegal/04.01-search.htm	POL 05.55.01: Search and Selection Procedures for Senior Academic and Administrative Officers (Tier I) http://policies.ncsu.edu/policy/pol-05-55-01
1	Hiring Procedures Manual	http://www.ncsu.edu/equal_op/hiring/hpm2000.html	http://oied.ncsu.edu/oied/hiring/hpm/Hiring_Procedures_Manual.pdf
4	Tenure Policies and Regulations	http://www.fis.ncsu.edu/ncsulegal/21.01-tenure.htm	Policy 05.20.01: Appointment, Reappointment, Promotion and Permanent Tenure http://policies.ncsu.edu/policy/pol-05-20-01
4	Qualifications for Rank	http://www.ncsu.edu/provost/fh/qualrank.htm	Policy 05.20.01: Appointment, Reappointment, Promotion and Permanent Tenure http://policies.ncsu.edu/policy/pol-05-20-01

4	College & Departmental Criteria and Processes	http://www.ncsu.edu/provost/academic_affairs/rpt/guidelines/	http://policies.ncsu.edu/category/personnel/faculty/rpt-rules
4	Details of the Reappointment, Promotion, and Tenure Process	http://www.ncsu.edu/provost/academic_affairs/rpt/	http://www.provost.ncsu.edu/promotion-tenure/
4	Procedures for Comprehensive Review of Tenured Faculty	http://www.ncsu.edu/provost/academic_affairs/crtf/	REG 05.20.04 - Post Tenure Review of Faculty http://policies.ncsu.edu/regulation/reg-05-20-04
5	OSU Faculty Salary Survey Participants	http://www.okstate.edu/pbir/IR/FacultySalary/Participants_2001.html	http://vpaf.okstate.edu/irim/FacultySalary/Participants.html
5	Our Peer Institutions	http://www2.asc.ncsu.edu/UPA/peers/current/ncsu_peers/peerlinks_ncsu.htm	http://www2.acs.ncsu.edu/UPA/peers/index.htm
7	Supplemental Pay	http://www.ncsu.edu/provost/fh/salary.htm	REG 05.20.35 – Summer Salary and Supplemental Pay for Nine Month Faculty http://policies.ncsu.edu/regulation/reg-05-20-35

7	Policies governing any non-salary compensation of faculty and non-faculty EPA	(n/a)	REG 05.15.03 – Non-Salary and Deferred Compensation http://policies.ncsu.edu/policy/pol-05-15-03
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