



HRAB Submission Training Compensation Network

October 12, 2011

University of North Carolina
Positions Exempt from the State
Personnel Act

Senior Academic and Administrative
Officers (SAAO)

Instructional & Research

University of North Carolina

Positions Exempt from the State Personnel Act

- I. *Instructional and research staff of the University of North Carolina [N.C.G.S. 126-5(c1)(8)]***

- II. Physicians and dentists of the University of North Carolina [N.C.G.S. 126-5(c1)(8)]**

- III. *Employees whose salaries are fixed under the authority vested in the Board of Governors of the University of North Carolina by the provisions of G.S. 116-11(4), 116-11(5), and 116-14 [N.C.G.S. 126-5(c1)(9)]***



University of North Carolina

Positions Exempt from the State Personnel Act

- A. The president, senior vice president, vice presidents and professional members of the president's staff [N.C.G.S. 116-14(b)]

- B. Chancellors [N.C.G.S. 116-11(4)]

- C. Vice chancellors [N.C.G.S. 116-11(5)]

- D. Persons having permanent tenure [N.C.G.S. 116-11(5)]

University of North Carolina

Positions Exempt from the State Personnel Act

E. Senior academic and administrative officers [N.C.G.S. 116-11(5)]

1. Vice chancellors, provosts, deans [UNC Policy 300.1.1-I.A]
2. ***Directors of major administrative, educational, research and public service activities [UNC Policy 300.1.1-I.A]***
3. Associate and assistant vice chancellors and associate and assistant deans [UNC Policy 300.1.1-I.B]

University of North Carolina

Positions Exempt from the State Personnel Act

- c. Positions whose primary responsibility is to attract external funds for and/or market the University [UNC Policy 300.1.1-I.B]*

- d. Other officers holding positions 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. [UNC Policy 300.1.1-I.B]*

University of North Carolina

Positions Exempt from the State Personnel Act

- 4. Specific other officers of the University having significant administrative responsibilities and duties, as may be designated by the President [UNC Policy 300.1.1-I.B]***
 - a. Members of chancellor's professional staff [UNC Policy 300.1.1-I.B]***
 - b. Positions responsible for administrative direction of separately designated divisions or departments commonly associated with institutions of higher education [UNC Policy 300.1.1-I.B]***

University of North Carolina

Positions Exempt from the State Personnel Act

- [1] In most cases, persons occupying such positions will function as the director of a specific division or department of institutional activity, reporting at the level of a vice chancellor or dean. However, **where circumstances warrant (e.g. in the case of a large and complex department or division)**, persons functioning as an associate or assistant director may be found to have “significant administrative responsibilities and duties” as defined by the characteristics listed above. In such cases, **the position must have substantial responsibility for assisting the primary officer (e.g. director) in formulating, interpreting, and implementing policy and must function in a confidential and direct support relationship to primary officer or have direct responsibility for a specific sphere of operations within the unit.** Person nominated to fill such positions normally must have an advanced educational degree and extensive relevant experience and be recruited in a national search process. [UNC Policy 300.1.2]

University of North Carolina
Positions Exempt from the State
Personnel Act

Senior Academic and Administrative
Officers (SAAO)

Human Resources Advisory Board for EPA Employees

Ann Lemmon	UNC-GA
Alan Boyette	UNCG
Matt Brody	UNC-CH
Ramah Carle	UNCC
Barbara Carroll	NCSU
Cory Causby	WCU
Gayle Davis	UNC-GA
Linda McAbee	NC A&T
John Toller	ECU
Pam Bowling	OSP

Human Resources Advisory Board for EPA Employees

- Meets the third Tuesday of every month to review submissions
- Factors taken into consideration:
 - Definitions in policy
 - Primary purpose of the position
 - Place in organizational structure
 - Educational/experience requirements
 - Policy-making authority
 - Independence of action
 - Scope of responsibility

Senior Academic and Administrative Officers

Assistant / Associate Director of Admissions:

An SAAO assistant/associate director of admissions has significant administrative responsibilities in a large complex department. The position has substantial responsibility for assisting the director of admissions in formulating, interpreting, and implementing policy and typically has direct responsibility for a specific sphere of operation within the admissions office. The position exercises substantial independence of administrative authority and discretion and **is authorized to independently commit the institution to admissions decisions**. This position typically requires an advanced educational degree or post baccalaureate training and extensive relevant experience.

Senior Academic and Administrative Officers

Assistant / Associate Director of Financial Aid:

An SAAO assistant/associate director of financial aid has significant administrative responsibilities in a large, complex department. The position has substantial responsibility for assisting the director of financial aid in formulating, interpreting, and implementing policy and typically has direct responsibility for a specific sphere of operation within the financial aid office. The position exercises substantial independence of administrative authority and discretion and **is authorized to independently commit the institution to financial aid decisions**. This position typically requires an advanced educational degree or post baccalaureate training and extensive relevant experience.

Senior Academic and Administrative Officers

Assistant / Associate Director of Development:

The primary purpose of an SAAO assistant/associate director of development **is to solicit funds on behalf of the university, or a specific school or program within the university.** “Primary purpose” is defined as the reason the position is being created, not as an incidental aspect of another position. This position typically does not requires an advanced educational degree or post baccalaureate.

Senior Academic and Administrative Officers

- **Generic Positions:** Positions which a campus may choose to make SAAO without submitting the position to HRAB for prior approval. Except as noted, only one of each position may exist on a campus. If a campus chooses to designate a position as generic, HRAB shall be notified in writing, including a copy of the position showing that it matches the position requirements as described.

Senior Academic and Administrative Officers

Generic Positions

- Admissions Officer
- Director of Alumni Relations
- Director of Athletics
- Director of Auxiliary Services
- Director of the Bookstore
- Director of Budget
- Director of Career Services
- Director of Continuing Education
- Director of Contracts and Grants
- Director of Counseling and Psychological Services
- Development Officer
- Director of Environmental Health & Safety
- Facilities (up to 3 positions)
 - Director of Design and Construction
 - Director for Facilities Management and Planning
 - Director of Physical Plant
- Director of Financial Aid
- Director of Housing & Residence Life
- Director of Human Resources

Senior Academic and Administrative Officers

- Information Technology (up to 3 positions)
 - Chief Information Technology Officer (CIO)
 - Information Technology Security Officer
 - Systems Operations
 - Business & Technology Services
- Institutional Research and Planning Officer
- Director of Internal Audit
- Director of Marketing (University-wide or School/Program)
- Director, Payroll Services
- Director of Public Affairs/Information
- Public Safety Officer
- Purchasing Officer
- Secretary of the University
- Director of Sponsored Research
- Director of Student Health Services
- Director of Systems and Procedures
- University Counsel
- University Registrar



University of North Carolina
Positions Exempt from the State
Personnel Act

Instructional and Research

EPA Instructional and Research Designation Process

Guidelines on Interpreting General Statute 126-5(c1) [State Personnel Act] provides the following employees are exempt from the provisions of this statute:

- Instructional and research staff, physicians, and dentists of the University of North Carolina.

EPA Instructional and Research Designation Process

- Per agreement with the Office of State Personnel dated August 20, 2003, UNC General Administration and OSP jointly review requests for Instructional and Research designation.
- Authority can be delegated to a campus if a campus has conducted no less than \$12 million in sponsored research the prior fiscal year.

EPA Instructional and Research Designation Process

- In order to be considered for Instructional or Research status the primary function and duties must
 - be instructional or supportive of academic and educational experiences, and
 - constitute at least 50% of the position
- The Office of State Personnel and the University of North Carolina have agreed that the following shall govern the interpretation and application of the terms “instructional” and “research” as used in NCGS 126-5(c1)(8).

Instructional

Positions qualifying for designation as “Instructional” are characterized by the following:

- The duties must be associated with regular academic and educational experiences provided by the university, or are uniquely supportive of those academic and educational experiences, and must involve significant and independent interaction with participants in the University’s instructional and educational program.
- The position must require that a substantial proportion of the work commitment be devoted to instructional activities or to the direction of educational/academic supportive activities.
- The position requires the exercise of discretion in determining the nature and content of the instructional or educational activities assigned and evaluating their effectiveness.
- The position requires possession of post baccalaureate credentials or equivalent independent experience in comparable instructional or educational activities. Prefer masters or above, but will accept alternative training and experience patterns. (Stray from this in information technology, coach and assistant coach.)

Instructional

Instructing: Positions whose primary purpose is to determine course content, teach and evaluate enrolled students in courses for academic credit. These positions include Lecturers and other teaching positions that may be funded in codes other than 1310.

- Example: Director, Freshman Seminar, Academic Affairs
Position exercises administrative oversight of the Freshman Seminar Program, required to teach a minimum of six credit hours per semester, maintaining a familiarity with current research in the field of first-year student development and formal teaching/training of all prospective instructors in the program prior to their assuming their instructional role within it. Requires an earned doctorate and significant experience in programs related to the academic development of first-year college students.

Instructional

Academic Advising: Positions whose primary purpose is to advise students on academic matters such as selection of a major area of study, course selection, and academic performance.

- Example: Academic Advisor, Academic Affairs. This position will guide advisees in course selection by assisting in planning their academic degree programs and providing information on university policies, procedures, programs and resources. Will also identify possible weaknesses and problems in areas of study habits, time management and personal responsibility and will monitor their academic progress. Position will also make appropriate referral to counseling services if necessary.

Instructional

Academic Preparation And Enhancement: Positions whose primary purpose is to improve academic preparation through such means as tutoring and supplemental instruction or to direct programs designed to enhance the educational experience of enrolled students or of targeted secondary school students to help prepare them for post-secondary education.

- Example: Coordinator, Appalachian Transition to Teaching Program. Position evaluates academic backgrounds of ATTP candidates, helps design individual learning plans, then mentor students. MS in education and five years of teaching and/or administrative work in public schools.

Instructional

Co-Operative Education: Positions whose primary purpose is to develop co-operative education experiences for students with employers, monitoring progress, and evaluating student performance with direct impact on grade assignment.

Note: Students are placed in the internships and in co-operative education programs

- Example: Clinical Dietician Instructor. Directs and evaluates educational experiences for dietetic interns and students in rural health settings, collaborates to provide medical nutrition therapy for patients at nutritional risk, fosters continuity of care. Evaluates courses and manages delivery of nutrition care serves. Masters in nutrition or closely related area, experience in clinical, community dietetics or teaching.

Instructional

Laboratory Management: Positions whose primary purpose is to manage practical experience and research laboratories and that participate in selection of experiments, protocols, and procedures which best support the instructional or research goals and in evaluating progress towards goals.

- Example: Director, College of A&S Microscope Facility. Manages operation of College of Arts and Sciences Electron Microscopy Facility, instruct in interdisciplinary courses in techniques of electron microscopy, teach the lab portion of the intermediate EM Course. Direct and participate in research projects, administrator of the EM facility.

Instructional

Instructional Consulting: Positions whose primary purpose is to assist, advise, and critique faculty and other instructional staff on instructional matters such as course content, curriculum structure, and instructional technique.

- Example: Academic Program Consultant. Position will design educational and mentoring programs independently as well as through consultation with academic department heads, associate and assistant deans for student affairs, student development and medical school curriculum committees. Will support educational experiences and determine the nature and content of instructional programs for faculty and medical students.

Instructional

Instructional Technology: Positions whose primary purpose is to utilize a variety of telecommunications and/or advance media-based technology to plan, design, and administer distance education curricula and/or programs in support of instructional and research activities that are directly related to the institution's academic mission.

Notes: Separated Information Technology from Instructional Consulting in 2003. Involves curriculum development utilizing software application. These positions do not include maintenance and LAN support.

- Example: Instructional Designer. Provides faculty and administrators expertise in the areas of planning, design, production, implementation, use and evaluation of technology-based educational materials. Located in Instructional Technology Center. Proficient in instructional design, development and teaching strategies; visual, textual, sound and motion, graphic design. Masters in instructional design, graphic design with teaching experience or related in the development of web based and online curriculum materials and courses.

Instructional

Continuing Education: Positions whose primary purpose is to design and deliver courses, seminars, etc., extending the benefit of the institution's regular academic and research activities to participants.

- Example: Director of Military Programs. The Director of Military Programs provides direction and support to the entire university dealing with all issues associated with outreach to NC military bases and the NC National Guard. This position manages university course offerings for areas such as homeland security, performance and improvement, and others requested by military bases. The director supervises the heads of each ECU ROTC program, and also represents the university in developing special military programs and hosting military visitors. Five years military education and a master's degree are required; doctorate preferred.

Instructional

Coaching: Positions whose primary purpose is to coach student athletes for teams sponsored by the institution.

Notes: Generally straightforward to classify. Positions must be actively engaged in coaching students. This does not include positions ancillary to an athletic program.

- Example: Assistant Women's Soccer Coach. Assist head coach in all phases of soccer program, recruit and evaluate student athletes and related travel. Working knowledge of NCAA rules.

Instructional

Academic Standards: Positions whose primary purpose is to develop and/or administer academic standards and curricula for degree granting programs.

- Example: Clinical Research Program Coordinator. Plans, implements and evaluates overall clinical research program and reports for the School of Nursing; new Bachelor of Science degree in nursing. Assigns faculty to individual courses and oversees student-learning activities.

Instructional

Student Support Services: Position whose primary purpose is to develop, direct and administer services for students and/or faculty that have a direct impact on the quality of students' educational experiences and are directly linked to the institution's academic programs. These positions include professional staff that design and deliver programs and/or seminars that involve direct student interaction with students and enhance the overall academic and learning experience outside the formal classroom setting.

Notes: These positions do not include operational or facility maintenance functions.

- Example: Assistant Director for University Center Programs, Student Affairs. This position will be responsible for providing education, guidance and service to students and organizations at the University which includes: advising Last Minute Productions, the student programming board and Lectures, Concerts and Exhibitions. Position will also coordinate Up All Night programs, Summer Concert Series, Cyber Café programs and Reel Diversity Film series. Master's degree in a related field such as student development, student personnel, higher education or counseling and two years experience in student programs, knowledge of student development theory and experience relating effectively to diverse populations.

Instructional

Professional Librarians: Positions whose primary purpose is to support instructional and research activities by advising students and faculty on the selection and effective use of library resource materials and by working with faculty on instructional and research matters such as collection development.

Notes: These positions are relatively straightforward to designate if they require a Master of Library Science degree and are considered professional librarians.

Instructional

Counselors: Positions requiring credentialed professionals whose primary purpose is to: provide clinical and developmental counseling or psychological services to students to enhance their psychological growth, emotional well-being, and learning potential; and, advise academic and academic support program directors of special needs, trends, and suggested program revisions based on the interaction with the student population.

Note: These positions must require professional counseling credentials.

- Example: Substance Abuse Education Consultant. Provide clinical treatment and educational prevention programming related to alcohol and other psychoactive substance abuse disorders. Train interns and students, coordinated mandated referrals, coordinate campus research in alcohol and drug use, abuse and addiction. Masters degree and licensed as a counselor, psychologist, social worker, marriage and family therapist, or psychiatric nurse.

Research

Positions qualifying for designation as “Research” are characterized by the following:

- The position must require substantial independence in creativity or research efforts and in the interpretation and dissemination of research results.
- The duties must be integral with the University’s instructional or research activities and represent an extension of the regular academic and educational experience provided by the University.
- The position must require that a substantial portion of the total work commitment is devoted to those research activities.
- The position requires possession of a post-baccalaureate credentials or a comparable record of independent research productivity.

Research

Academic Computing: Positions whose primary purpose is to direct staff in providing electronic data processing services that directly support the institution's academic and research missions.

Notes: The positions supervise staff that support specific academic and research programs as opposed to general LAN or operational computing support services.

- Example: Director of Architectural Computing. DAC is responsible for planning, design, installation and management of all computing equipment and software for computers installed in the College or supporting College-based teaching, research, interdisciplinary collaborations, and administrative operations. This encompasses close coordination between educational needs and professional innovations in classrooms/studios, laboratories, workshops, specialized computer instructional spaces, and production facilities.

Research

Academic Research: Positions whose primary purpose is to serve as principal investigators or research associates for primary or secondary research projects that may advance or enhance a field of academic learning. These positions function with substantial independence and expertise in research design, implementation of research procedures, data analysis and interpretation of results.

Notes: These positions do not include operational support related positions.

- Example: Research Associate, Health Sciences/Microbiology and Immunology. Position will lead a scientific research laboratory and be responsible for planning, prioritizing, scheduling, designing research protocols, conducting and analyzing various experiments for a wide variety of funded research projects. Will compile and evaluate data and prepare extramural grant applications and research reports (written and oral). Supervises research activities and trains undergraduate, graduate and medical students and research technicians as well as collaborating students and scientists from other laboratories.

Research

Community Service: Positions whose primary purpose is to direct staff in the development and administration of programs which focus the academic resources and research products of the institution on the resolution of community and regional issues and foster the incorporation of these issues in the institution's academic research programs.

Notes: These positions may be direct supervisors or responsible for providing technical direction (i.e., not direct supervisors on the organizational chart) of others in support of programs.

- Example: Extension Agent: Community & Rural Development. The CRD Extension Agent is responsible for planning, executing, and evaluating effective CRD programs that will meet the needs of the county population. Major responsibilities include marketing CRD programs to the community using various media; recruit, train, and supervise volunteers to assist with the implementation and maintenance of CRD programs; and to promote community development with the tourism, economic, and real estate agencies within the county. Candidate must have a Bachelor's degree in agribusiness, rural sociology, community development, rural development, or closely related field. Master's degree is preferred.

Research

Institutional Research: Positions whose primary purpose is to direct staff in the collection of data and information concerning students, faculty, facilities and related items used for reporting and directly supports the institution's planning and assessment processes.

- Example: Director for Institutional Research and Testing, Institutional Planning, Research and Effectiveness. This position is responsible for maintaining and reporting institutional data related to student enrollments; human, physical and financial resources; and degree programs. Also responsible for overseeing the development and integration of the faculty report process and updating and maintaining the academic publication database. Position will be responsible for reporting institutional data to the UNC General Administration and other external.

Research

Research Administration: Positions whose primary purpose is to direct staff serving as principal investigators assigned to research projects; or positions that serve as directors of sponsored research including determining if project proposals as consistent with the institution's academic and research policy, advising staff on the development of project proposals and negotiating with sponsoring agencies particularly as it relates to terms and conditions that affect academic freedom and ownership of the product.

Notes: These positions do not include contract and grants developers, writers, or administrative support.

- Example: University Veterinarian, Office of Research, UNC Charlotte. This position will make routine visits to facilities and laboratories at which time facility operations and health status of every animal are assessed. Position will work closely with staff to ensure the prevention, control, diagnosis and treatment of diseases and injuries in laboratory animals and will provide guidance to principal investigators and others involved in the care and use of animals regarding handling, immobilization, anesthesia, analgesia, tranquilization and euthanasia. Will also conduct training workshops on a regular basis and observe surgical procedures to ensure faculty are properly trained. Position will also review the University's operating procedures to ensure conformity with all applicable state and federal regulations for the humane care and use of laboratory animals as well as established veterinary medical and nursing practices.

Research

Technology Transfer: Positions whose primary purpose is to manage the flow of research innovation, disclosures, patents, trademarks, copyrights and other aspects of technology transfer. These positions include professional staff who assess each disclosure for its technical and commercialization merits, develop relationships with industry, negotiate business transactions for the exchange of intellectual property rights, collaborate with regional and state economic development agencies and/or engage in other aspects of technology transfer such as negotiating licensing or equity agreements. These positions also provide outreach services such as training and education to university faculty and students.

- Example: Technology Development Associate, Office of Technology Transfer. This position will be primarily responsible for: assisting faculty and students with new invention disclosure generation and their technical merit, commercial viability and prior art conflicts, interacting with legal counsel on patent and copyright filings, monitoring deadlines for patent prosecution and maintenance, marketing inventions for potential licensing, managing Confidential Disclosure Agreement and Material Transfer Process, monitoring licensee progress and compliance, reviewing and negotiating all IP terms as related to industry, foundation and government sponsored research. Baccalaureate degree in Life or Physical sciences, advanced degree in Science, Law and/or Business and 1-2 years work experience in an academic, hospital or research institution.

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***EPA Designation Request
Process: Step by Step***

EPA Subcommittee Web Site

- [EPA Subcommittee of the HR Council Meeting Materials](#)
Link to the monthly EPA Subcommittee of HR Council meeting materials.

- [EPA Subcommittee of the HR Council](#)
Summaries of past meetings and schedule of upcoming events.

- [EPA Resource Information](#)
Link to documents that provide comparisons of employment policies, descriptions of generic SAAO positions, and information on the approval authority required to establish EPA positions and to implement EPA appointments, promotions, and compensation actions.

- <http://www.northcarolina.edu/content.php/hr/univwideHRadm.htm>

The University of North Carolina General Administration EPA Designation Request Form

Institution: _____

Division/School/Department: _____

EPA Designation Requested:

Senior Academic and Administrative Officer, I.A.* (SAAO, Tier I)

Senior Academic and Administrative Officer, I.B.* (SAAO, Tier II)

Instructional

Research

***As defined by SAAO Policy, Paragraph I.A. or I.B.**

The University of North Carolina General Administration EPA Designation Request Form

Proposed Position Information:

Proposed Title:

Proposed Working Title (if different):

Proposed Position Number: _____ Proposed JCAT Code: _____

Current Status: SPA EPA New Position

Current Position Information (if applicable)

Current Title:

Name of employee in position:

Name and title of supervisor:

The University of North Carolina General Administration EPA Designation Request Form

Electronically submit completed form with the following required documentation:

- A written justification for requested action to include specific reference to relevant elements in SAAO definition or Instructional/Research definitions.
- A detailed position description.
- An organizational chart that includes position titles, position numbers, position designations (SPA, EPA, SAAO), and employee names.

Submit to: Ann W. Lemmon, Associate Vice President for Human Resources,
UNC General Administration, PO BOX 2688, Chapel Hill, NC 27515-2688,
Fax: 919-843-8327 Phone: 919-962-4555 Email: awlemmon@northcarolina.edu
http://www.northcarolina.edu/hr/hr_council/EPA_Res_Info.htm

*As defined by SAAO Policy, paragraph I.A or I.B Revised 11/2010

The University of North Carolina General Administration EPA Designation Request Form

Submit completed form with the following required documentation:

- A written justification for requested action that includes specific reference to relevant elements in SAAO definition or Instructional/Research definitions
- A detailed position description
- An organizational chart that includes position titles, position numbers, position designations (SPA, EPA, SAAO), and employee names
- The form should be submitted electronically by the authorized campus designee.

What makes a good submission?

Written Justification

- State the *primary* purpose of the position
- Provide specific reference to what criteria make it EPA
- If Instructional/Research, how the position is specific to the University (not found at State agencies)

Job Descriptions

- Need a detailed job description that describes all functions of the job
- Provide the education/experience levels, required and preferred

What makes a good submission?

■ **Titles**

- Real title
- Working Title
- If currently SPA, need classification

■ **Organization Charts**

- Submitted job outlined, highlighted, circled, etc.
- EPA and SPA positions indicated
- Multiple levels shown (i.e., where it reports, what reports to it)

What makes a good submission?

■ **Content**

- Admissions: does it commit the University to accepting students
- Communications/Marketing: does it develop the overall strategy, not just produce materials
- Development: is the primary purpose to ask for money
- Financial Aid: does it commit the resources of the University

Reasons requests are rejected

■ Job Content

- Primary purpose operational or support
 - Lack of policy-making authority

■ Position Submission

- Unclear job description
 - No clear primary purpose for position
 - Too short job description
- Unclear organization chart
 - Difficult to read chart: which job is it?
 - Chart doesn't show positions above, below, and lateral to position



University of North Carolina

Positions Exempt from the State Personnel Act

Questions?