HR Professionals at NC State
Cultivating Community

February 28, 2018
<table>
<thead>
<tr>
<th>Time</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>8:00 a.m. – 8:15 a.m.</td>
<td>Registration</td>
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</tbody>
</table>
| 8:15 a.m. – 8:30 a.m. | Welcome  
Amy Grubbs and Kevin Rice                                        |
| 8:30 a.m. – 9:30 a.m. | HR at NC State and Higher Education  
Marie Williams  
Beth Buck       |
| 9:30 a.m. – 10:15 a.m. | Equity, Diversity and Inclusion  
Dr. Robinette Kelley  
Dr. Allen Cannedy |
| 10:15 a.m. – 10:30 a.m. | Break                                                                |
| 10:30 a.m. – 11:45 a.m. | HR and the Law  
Sarah Lannom                                                   |
| 11:45 a.m. – 1:00 p.m. | Lunch — Provided by:  
Fonville Morisey Relocation Services  
MOVINGWITHTHEPACK.COM                          |
| 1:00 p.m. – 2:15 p.m | Governing Bodies  
Matt Brody  
Sarah Lannom                                             |
| 2:15 p.m. – 2:30 p.m | Break                                                                |
| 2:30 p.m. – 3:30 p.m | Fun with Financials  
Virginia Teachey                                               |
| 3:30 p.m. – 4:30 p.m | HR Compliance & Integrity  
Brad Trahan                                                   |
| 4:30 p.m. | Wrap-Up and Adjournment  
Makeba Jackson                                              |

Welcome!

Amy Grubbs

#HRatNCState

#learnwithlod
Name, department, & how long you've been on campus. (one minute)
What is the best thing about being a part of the NC State Family? Why?

What is the last series you binged watched? What did you like about it?

What was the last training program or conference you attended? What did you learn?

Tell me something that makes you HAPPY

Cultivating Community Challenge

What is something you would like to learn from this HR Conference? Why?

What is one thing you admire about a coworker or boss? Why?

If you had a superpower, what would it be? Why?

Describe your PERFECT day

Name:
NC State Training Framework

**Compliance**
Compliance Training driven by Federal & State Laws and Mandates aligned to legal requirements

**Job Skills**
University Training assigned for specific job duties and responsibilities aligned to position requirements and needs

**Professional Development**
Optional Training needed for professional development that is aligned to career goals and individual needs

Mandated
Required
Optional
### Sample Training Plan for a Manager

**REQUIRED TRAINING FOR COMPLIANCE**

- Sample Courses:
  - Clery Act (Campus Security Authorities)
  - SAVE ACT (Sexual Assault Awareness & Violence Prevention)
  - Title IX (if identified as a Responsible Employee by the University)
  - Equal Employment Opportunity & Diversity Fundamentals (EEODF)
  - Discrimination and Harassment Prevention and Response Training (DHPR)

**TRAINING SPECIFIC TO FUNCTION**

- Sample Courses:
  - SHRA Performance Appraisal Program Supervisor Training
  - Management Essentials
  - Managing & Navigating FMLA, Workers Comp, and Leave
  - Managing SHRA and EHRA Employees Through Performance Management
  - Recruitment & Selection
  - Manager’s Safety Checklist
  - Hiring the Best with Behavioral Based Interviewing
  - Giving & Receiving Feedback

**OPTIONAL PROFESSIONAL DEVELOPMENT**

- Sample Courses:
  - Accelerating Team Performance: Understanding the Five Behaviors of a Cohesive Team
  - Team Decision Making and Problem Solving
  - The Leadership Challenge Workshop
  - Leadership Essentials (Compass Online Learning)
  - Managing & Coping with Change
  - Collaborative Leadership
NC State HR Professional Training

Compliance

Compliance Training driven by Federal & State Laws and Mandates aligned to legal requirements

Mandated

Job Skills

HR in Higher Ed Governing Bodies
HR & the Law
HR Systems Overview
Diversity & Inclusion
Financials for HR
Business Ethics

Required

Professional Development

Academic HR
People & Positions
Benefits & Leave
Skill Development

Optional
Human Resources at NC State University and in Higher Education

Marie Williams and Beth Buck
This is how we cultivate our HR community at NC State
HR Internal and External Stakeholders:

Internal Stakeholders:
- General Counsel
- Faculty Staff Senates and governance committees
- Faculty and Staff
- Senior University Leadership
- OIED
- HR College/Unit Leads
- Board of Trustees
- Students

External Stakeholders:
- UNC System
- Board of Governors
TABLE EXERCISE: HR FUNCTIONS

WHAT KEY HR FUNCTIONS ARE PERFORMED BY YOUR UNIT?
The Role of HR: Functions

Traditionally think of HR by Function:

• Staffing
• Employee Relations
• Performance Management
• Compensation & Benefits
• Training & Development
• Information Management & Research
• Safety, Health & Security
Detailed Findings

HR is largely transactional and compliance-based and lacks the focus and capacity to provide more strategic services to meet the long-term workforce needs of NC State.

TRANSACTIONAL VS. STRATEGIC HR

Best Practice HR Model:
- Workforce and Succession Planning
- Compensation Planning
- Leadership Development
- Culture/Engagement
- Organizational Development/Design

NC State HR Services:
- Very Few
- Some Services
- Predominant Services

Note that the state system has been a driver of NC State’s predominant administrative services.
DISCUSSION QUESTION

SHOULD HR THINK AND ACT STRATEGICALLY AT NC STATE?
The Role of HR: Competencies

• HRCS Model - CORE Competencies
  – Strategic Positioner
  – Credible Activist
  – Paradox Navigator

hrcs.rbl.net
DISCUSSION QUESTIONS

DID YOU WORK IN INDUSTRY BEFORE HIGHER ED? WHAT IS DIFFERENT? WHAT IS SIMILAR? WHAT REALLY HELPED YOU UNDERSTAND HIGHER EDUCATION HR?
HR in Higher Ed

- Industry HR vs Higher Ed HR
- CUPA-HR memberships - free webinars for professional development
- Compass
Equity, Diversity & Inclusion

Dr. Allen Cannedy and Dr. Robinette Kelley
North Carolina State University
What does Equity Mean?

• Justice according to natural law or right; specifically: freedom from bias or favoritism
What Does Diversity Mean?

• Definition of diversity. plural diversities. 1 : the condition of having or being composed of differing elements : variety; especially : the inclusion of different types of people (such as people of different races or cultures) in a group or organization. programs intended to promote diversity in schools.
What is Inclusion?

• The action or state of including or of being included within a group or structure.
Why should we want it?
Unequal Opportunity Race

https://www.washingtonpost.com/video/national/the-unequal-opportunity-race/2016/02/11/3d60a01a-d0d6-11e5-90d3-34c2c42653ac_video.html?utm_term=.8f7ac2854901
FOR A FAIR SELECTION
EVERYBODY HAS TO TAKE
THE SAME EXAM: PLEASE
CLIMB THAT TREE
Evolution of Equal Opportunity, Affirmative Action, and Diversity Inclusion

<table>
<thead>
<tr>
<th>Equal Employment Opportunity</th>
<th>Affirmative Action</th>
<th>Diversity Inclusion</th>
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</thead>
<tbody>
<tr>
<td>The enforcement of statutes to prevent employment discrimination</td>
<td>The effort to achieve parity in the workforce through outreach and eliminating barriers in hiring</td>
<td>Leveraging differences in the workforce to achieve better results</td>
</tr>
</tbody>
</table>
Who needs to participate?
Diversity & Inclusion Advocates
RECRUITMENT
Search Committee’s Role

Key responsibilities:

• Serve as an advisory and/or nominating body
• Recruit a diverse pool of qualified candidates
• Conduct a legally defensible search
• Ensure equitable treatment of all applicants
• Safeguard confidentiality of the search
• To represent NC State University to all candidates as an attractive and welcoming community
Other Search Considerations

• The search committee chair serves as liaison between hiring official and committee.

• The composition of the search committee is critical to its success. Should involve diverse people and diverse viewpoints.

• Campus partners, department faculty and others stakeholders not on the search committee are critical to the search process.
Job Posting: EEO Requirements

• Provide candidates with the information to determine if they are interested in the position
• Show commitment to a diverse workforce
• Posted criteria must
  • be relevant to the job, and
  • avoid use of discriminatory language
• Include AA/EEO Statement which encourages women, minorities, individuals with disabilities and protected veterans to apply
Unit Equity Officer or AA Officer Role

• Work in collaboration with OIED to support the University’s promotion of and compliance with equal employment opportunity initiatives.
• Disseminate information about NC State’s EEO education and/or training Programs
• Help ensure diverse applicant pools
• Ensure EEO/AA principles are upheld in recruitment, retention, and all aspects of employment
• Help identify problem areas and recommend solutions
Retention
Microaggressions and Macroaggressions

"Are you even LEGAL?"
Cultural Competence

DOG  WOLF  JACKAL  COYOTE  FOX
Unconscious bias
What is unconscious bias?

• Our fundamental way of looking at and encountering the world is driven by a “hard-wired” pattern of making unconscious decisions about others based on what feels safe, likeable, valuable, and competent. (Ross, 2008)

• Everyone has some biases, which can be either positive or negative and which we maybe unaware of i.e. they are unconscious.
Who Gets Hired?

- https://www.youtube.com/watch?v=7nJq6des4jg
Questions?
Break
HR and the Law
Sarah Lannom, Office of the General Counsel
Employment Law Coverage

- Recruitment/Selection/Hiring
- Discrimination
- Employment Lifespan
- Health & Safety
Recruitment/Selection/Hiring

Recruitment

- Posting and Advertising
- Affirmative Action
United States Department of Labor  
Office of Federal Contract Compliance Programs  
Southeast Region / Charlotte District  
3800 Arco Corporate, Drive, Suite 465  
Charlotte, North Carolina 28273

22 August 2013

Dr. Randolph Woodson  
Chancellor  
North Carolina State University  
231 Winslow Hall Box 7530  
Raleigh, North Carolina 27695-7530

Dear Dr. Woodson:

Our recent evaluation of your equal employment opportunity policies and practices at 231 Winslow Hall, Raleigh, North Carolina 27695, has been completed.

During the compliance review process, we found no apparent violations of Executive Order 11246, as amended, Section 503 of the Rehabilitation Act of 1973, as amended, or the Vietnam Era Veterans’ Readjustment Assistance Act of 1974, as amended (38 U.S.C. 4212). This determination may be modified by the Deputy Regional Director, or by the Director, Office of Federal Contract Compliance Programs, within 45 days of the issuance of this letter.

The Office of Federal Contract Compliance Programs sincerely appreciates the cooperation and courtesies extended by you and your staff during the conduct of the compliance evaluation.
Recruitment/Selection/Hiring

Selection

• Job Requirements/Qualifications
• Interview questions

Interview
Recruitment/Selection/Hiring

Hiring

• Reference checks (minimum of 3)
• Offer Letter
• Background checks
• Education/degree verification
• Credential verification (i.e. licenses)
• I-9 process
Discrimination

• Discrimination is unequal treatment based on membership in a protected class
• Elements
  - Membership in a protected group
  - Negative differential treatment based on the membership in a protective group
Quiz: Protected Groups
Discrimination: General

Disparate Treatment
Disparate Impact
Retaliation
Harassment
Discrimination: Other Laws

- Title IX
- Pregnancy Discrimination Act
- Equal Pay Act
- ADEA
- GINA
- ADA
Discrimination: Harassment

• Member of a protected group
  - Quid pro quo (this for that)
  - Hostile Work Environment
Table Top Exercise

An SHRA employee (non-career status) you hired six months ago has been involved in several confrontations with other employees. When you attempted to address the issue with her, she said that she feels she has been treated differently due to age and that there was a hostile work environment due to sex. You don’t believe there is any age or harassment issue and you would like to separate her from employment. Should you terminate her? What are the pros and cons? What else would you want to make sure of before you proceed with a termination? Who might be able to assist you with evaluating this situation?
Employment Lifespan

Personnel File Information

- Public Information
- Personal and Employment-Related Information (confidential)
- Who can see?
- Requests for information
Employment Lifespan

• SHRA Employees - governed by State Human Resources Act and OSHR regulations
• EHRA Employees - governed by UNC Code/Policy Manual and NC State Policies/Regulations/Rules
Employment Lifespan: Disability

- ADA(AA)
  - prohibits discrimination against people with disabilities
  - reasonable accommodation in employment
Employment Lifespan: FMLA

Family and Medical Leave (FML)

• Provides up to 12 weeks of unpaid leave in a 12-month period for qualifying event
• Job protection and maintenance of health insurance coverage
• Covers all employees (full and part-time) who have worked 1040 hours in last 12 months; temps with 1250 hours
Family and Medical Leave (cont’d)

- Leave may be continuous, intermittent or combination
- Employees who earn leave may use sick, annual, bonus leave to cover the leave time.
- Faculty on 9-month appointment have up to 40 paid days per year per NC State regulation
Employment Lifespan: Family Illness Leave

North Carolina State Law -

• provides up to 52 weeks of **unpaid** leave in a 5 year period to care for a child, spouse or parent with a serious health condition
• Eligibility same as FMLA
• Employee retains job protection for the 52 weeks
Employment Lifespan: Military/Veterans

• USERRA
  (Uniformed Services Employment & Reemployment Rights Act)
• Military Leave
Employment Lifespan: Fair Labor Standards Act

- Covers minimum wage, child labor, overtime pay
- Wage and hour provisions
  - Must pay overtime pay over 40 hours worked in a work week unless exempt
  - Tests for exemption (salary basis and job duties)
Employment Lifespan: Fair Labor Standards Act

- All time which a non-exempt employee is required or permitted to work is considered “hours worked”
- All hours in the work day are considered work time unless time when employee is relieved of all duties (such as meal periods)
Health & Safety: Workers’ Compensation

NC Workers’ Compensation Act

• Compensates employees for work-related injury or occupational disease
• NC Industrial Commission
• Employee- must report within 30 days
• Manager- must report - NCIC Form 19 to Leave Administration
# ADA/FMLA/Work Comp

<table>
<thead>
<tr>
<th>Purpose of the Law?</th>
<th>ADA</th>
<th>FMLA</th>
<th>Workers’ Compensation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prohibits discrimination &amp; accommodation statute</td>
<td>Leave entitlement: Provided minimum leave standards</td>
<td>Provides for payment of compensation to injured employees</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Who is Subject?</th>
<th>ADA</th>
<th>FMLA</th>
<th>Workers’ Compensation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employers w/15 or more employees</td>
<td>Employers with 50 or more employees w/in 75 mile radius</td>
<td>All employers with three (3) or more employees</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>What type of protection?</th>
<th>ADA</th>
<th>FMLA</th>
<th>Workers’ Compensation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reasonable accommodation unless causing undue hardship</td>
<td>Employee who has worked at least 1040 hours in previous 12 months</td>
<td>Employee</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Length of Leave?</th>
<th>ADA</th>
<th>FMLA</th>
<th>Workers’ Compensation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case-by-case</td>
<td>Up to twelve (12) weeks per year</td>
<td>Determined by work comp med provider</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Duty to accommodate?</th>
<th>ADA</th>
<th>FMLA</th>
<th>Workers’ Compensation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is duty to accommodate</td>
<td>No duty</td>
<td>No duty, but advantageous to provide light duty if available and generally offered to injured employees</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Return to work ability?</th>
<th>ADA</th>
<th>FMLA</th>
<th>Workers’ Compensation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Can require cert of ability and can employee return w/reasonable accommodation? Not required to create job</td>
<td>Can require cert of return to duties; if unable to perform job you can discharge</td>
<td>May require cert from work comp med provider</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Light Duty?</th>
<th>ADA</th>
<th>FMLA</th>
<th>Workers’ Compensation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Can require as a reasonable accommodation – do so only if vacant position exists</td>
<td>Prohibits requiring light duty assignments. If leave is intermittent employee may transfer to position w/equivalent benefits</td>
<td>Can require employees to light duty positions – failure to return may be justification for halting benefits</td>
<td></td>
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Drug Free Workplace Act

Employees may not report to work under the influence of illegal drugs or alcohol.

DRUG-FREE WORKPLACE
As a precondition for receiving any federally funded grants or contracts, NC State is required to certify that it is providing a drug-free workplace. Any employee reporting to work under the influence of alcohol or illegal drugs or using alcohol or illegal drugs on the job is subject to appropriate disciplinary action. In addition to the NC State’s Policy on Illegal Drugs, the university is required to adhere to all federal policies. As a condition of employment any faculty, staff, or student must notify the university of any criminal drug conviction for a violation occurring in the workplace no later than five (5) days after such conviction. It is extremely important that you comply with the policies on illegal drugs and alcohol, which have been implemented by the federal government and the university's governing bodies. Maintaining an alcohol and drug-free workplace will benefit us all.
Questions?

Sarah Lannom

salannom@ncsu.edu

(919) 515-3071
Thank you for lunch!
HUMAN RESOURCES GOVERNANCE

Matthew S. Brody  
Vice President for Human Resources  
UNC System Office  
February, 2018
Topics

• Composition of the UNC System and the Role of the President
• The General Assembly
• Board of Governors (BOG)
• BOG Committee on Personnel and Tenure (P&T)
• Boards of Trustees (BOTs)
• System Office Human Resources
• Office of State Human Resources (OSHR) and the State HR Commission (HRC)
• The UNC System Policy Manual
• OSHR Policy Manual
• Questions?
UNC System Components

- UNC System Office
- 16 constituent higher education institutions and a constituent high school
- UNC Health Care System
- UNC Public Television (Public Media North Carolina)
- NC State Education Assistance Authority (NCSEAA)
- The North Carolina Arboretum
- UNC Press
- Go Global NC
- NC State Approving Agency (NCSAA)
- UNC Center for School Leadership Development
UNC System President

• Chief executive of The University of North Carolina
• Oversees the UNC System Office and its operations
• Supervises the constituent institution chancellors and the executive heads of the UNC System affiliates
• Carries out the policies of the UNC Board of Governors in conjunction with the chief executives of the constituent institutions and UNC System affiliates
• Serves as a member of the UNC Health Care System Board of Trustees
• Serves as a member of the State Education Cabinet
General Assembly

- Appoints members of the Board of Governors (BOG)
- Creates or modifies State laws which govern the structure, function, and governance of The University of North Carolina
- Appropriates State funding to provide substantial financial support to The University of North Carolina and its constituents
- Exercises legislative oversight of the University through the Joint Committee on Education Oversight, legislative appropriations committees, and the various legislative staff agencies such as Fiscal Research and the Program Evaluation Division
- Appoint some members of the constituent Board of Trustees
- Establishes the legal basis for terms of employment and various benefits (e.g., State Health Plan, TSERS, ORP) for University employees
Board of Governors (BOG)

- Originally 32 members; reduced in size by the General Assembly to 28 members in 2018; 24 members in 2019
- The BOG appoints and supervises the UNC System President
- Sets the University’s budgetary and legislative priorities
- Establishes official University policies including policies which govern faculty and EHRA non-faculty appointments
- Approves appointments of the Chancellors on recommendation of the President
- Approves tuition and fees and enrollment levels of the constituent institutions
- Approves creation or discontinuation of academic programs and degrees
- Appoints some members of the constituent Board of Trustees
BOG Committee on Personnel & Tenure (P&T)

• Standing committee of the BOG with 6 members
• Assigned delegated authority to act for the full BOG on selected matters involving compensation and appointment matters
• Considers and advises the full BOG and the President on human resources practices and policies
• P&T members consider certain faculty appeals
• Review and vote on selected EHRA salary actions in excess of 20% and $25,000
• Chair of P&T plays a key role in reviewing SHRA and EHRA salary actions exceeding 5% and $100K and position actions budgeted at $70K or greater per legislative pre-approval requirements
• Discusses and recommends to the full BOG approval of new or revised personnel policies
Boards of Trustees (BOTs)

• Members appointed by both the General Assembly and the Board of Governors
• Advise the Board of Governors on matters which impact the constituent institution
• Advise and consult with the Chancellor on matters related to the management and development of the institution
• Have delegated authorities from the BOG with respect to the approval of certain actions that relate to the operation of the constituent institution; e.g., certain compensation and appointment actions
• BOT must approve appointments and compensation of Provost and Vice Chancellors
• The BOT may further delegate some of its authorities to the Chancellor, which is routinely done with many personnel actions
UNC System Office HR (30 FTEs)

- Vice President of HR and System CHRO (Matthew Brody)
- Senior Associate Vice President for HR Services (Brian Usischon)
  - Deputy System CHRO
  - HRIS
  - Payroll Shared Services
  - Systems Benefits Office
- Senior Associate Vice President for Leadership & Talent (Lynn Duffy)
  - Chancellor searches
  - Chancellor performance management
  - Leadership development and succession planning
  - Search firm coordination and best practices
UNC System Office HR

• Associate Vice President for Employment, Classification & Compensation (Jessica Moore)
  o Employment policy and subject matter expertise
  o Classification and compensation policy and subject matter expertise
  o SHRA and EHRA salary action review and approvals
  o SHRA and EHRA position action review and approvals

• Associate Vice President for Employee Relations & Equal Opportunity. (Chris Chiron)
  o Performance management
  o Grievance and disciplinary actions
  o RIF and End of appointment matters
  o Policy administration
  o Employee engagement
  o Equal opportunity and compliance
UNC System Office HR Role

- System-wide human resources policies
- Support to the BOG Committee on Personnel and Tenure
- Advise the president and UNC System senior officers
- System-wide benefit programs
- Consultative support to constituent institution HR offices
- Exercise delegated authority from the president on reviewing and approving HR actions
- Exercise delegated authority from State HR on SHRA actions
- Coordinates the system-level HR Data Mart
- Liaison to OSHR, State Health Plan, TSERS, State Treasurer and other state agencies who deal with HR and benefits
Office of State Human Resources (OSHR) Role

• Publish and interpret state government-wide SHRA personnel policies, including UNC System SHRA employees
• Serve as subject matter expert to state agencies on human resources policies and programs
• Review and authorize exceptions to State HR policies
• Design and operate the state government classification and compensation system
• Review and approve SHRA RIFs
• Manage NC Flex benefits program
• Coordinate statewide employee recognition and award programs
• Support the State HR Commission
State Human Resources Commission (HRC) Role

• Support establishment and maintenance of the State’s Human Resources programs and practices

• Provides input to the Director of State Human Resources and the Governor with respect to State government human resources issues

• Review and approve new or proposed modifications to State SHRA personnel policies in accordance with State statute
UNC System Policy Manual

• Body of policy approved by the UNC Board of Governors and that governs University operations and governance
• Chapter 300 of the Policy Manual primarily deals with human resources matters, including terms and conditions of faculty and EHRA non-faculty staff
• HR-related items addressed in Section 300 include …
  o Categories and subcategories of EHRA employees
  o Basic terms and conditions of appointment
  o Compensation
  o Holidays and Leave
  o Relationship of EHRA employees to the State HR Act
  o Improper relations
  o Grievance and appeals
State SHRA HR Policy Manual

- Body of policy approved by the State HR Commission that governs State Government human resources operations
- Published and administered by OSHR
- Comprehensively addresses the full range of HR matters, including:
  - Types of SHRA appointments
  - Posting and recruitment
  - Compensation
  - Equal opportunity
  - Holidays and Leave
  - Adverse weather
  - Reduction in force
  - Disciplinary actions
  - Workplace safety
  - Grievance and appeals
QUESTIONS?
THANKS FOR ALL YOU DO FOR THE UNIVERSITY OF NORTH CAROLINA!!!
Governing Bodies & PRRs
Sarah Lannom

Board of Trustees
• Thirteen members
• Eight appointed by BOG
• Four from the General Assembly
• One student (ex officio)
BOT Meetings

• Must hold a minimum of three meetings per year; currently hold five meetings per year.
• May hold special or emergency called meetings
• Subject to the NC Open Meetings Act
BOT Committees

- Audit, Risk Management and Finance
- University Affairs
- Buildings and Property
- University Advancement
- Executive/Compensation
BOT Authority

- Derived from General Statutes and Board of Governors
- NCSU POL 01.05.01 (BOT Bylaws)
- University Affairs Committee’s delegated authority
Chancellor

Chancellor’s authority derived from BOG/BOT

Chancellor’s Cabinet

Chancellor has delegated the authority to discontinue EHRA employees to Provost

Vice Chancellor for Finance & Admin has authority over SHRA employees
Faculty Senate

• Faculty Senate provides advice to Chancellor and BOT
• Provides recommendations to administrators regarding policies
• Comprised of representatives from each college, school and other constituency
• Faculty Senate Committees
• Faculty Senate Chair
Staff Senate

- An advisory body to the Chancellor
- Policy review and recommendations
- Assist in communicating the activities and issues affecting staff members
- Encourages a sense of community among university employees
- Staff Senate Committees
- Staff Senate Chair
Policies/Regulations/Rules

- **PRR website**
- Difference between a policy, regulation, and a rule
- Delegation of authority for issuing regulations
Adoption/Revision of PRRs

- Procedure for Adoption/Publication of PRRs
- PRR Template & Routing Form
- Consultation
- Approval
- Publication to PRR website
Questions?

Sarah Lannom  
Office of General Counsel  
(919) 515-3071  
salannom@ncsu.edu

Office of General Counsel
Break
Fun with Financials!
Virginia Teachey
Fun with Financials!

Give Miss Wolf a fish and you feed her for a day; teach Miss Wolf to fish and you feed her for a lifetime.
Three Largest Expenses for an Institution of Higher Education

Facilities
Financial Aid
Salaries
The Role **YOU** Play is Very Important to the Success of NCSU!

- Facilities
- Financial Aid
- **Salaries**

63% of Total Expenditures
HR Touches $$, $$ Touch HR
Fun with Financial Terminology

What is a Department/OUC?

is a cost center accounting number. This six-digit number is broken down as follows: first 4 digits are used to identify the School/Department and their divisions and the last 2 digits are used for sections within the divisions.

140101

2-Digit College/Division
4-Digit Unit within College/Division
6-Digit Operation within Unit
Fun with Financial Terminology

What is a project?
Combination of the segment and phase. Segment is the first 6 digits of the project ID and denotes the funding authority for the activity within that project id. Phase is the last 5 digits of the project ID and is a further breakdown of the funding authority provided to the divisions for their accounting needs.

Example: 201460-12345
Fun with Financial Terminology

What is an account?

Account - the traditional number to denote assets, liabilities, fund balance, revenues and expenditures (old FAS Control/Object).

[https://controller.ofa.ncsu.edu/resources/accounting-system-information/](https://controller.ofa.ncsu.edu/resources/accounting-system-information/)

Example: 201460-12345-51310

Diagram:

- Project
- Phase
- Account
Fun with Financial Terminology

What is a program (purpose) code?

formerly called purpose code which is designated by the State Budget Office, classify financial activity by function.

[link](https://controller.ofa.ncsu.edu/resources/accounting-system-information/program-codes/)

101 - Regular Term Instruction
103 - Extension Instruction
110 - Organized Research
122 - Ag Research
131 - Coop Ext - State Administration
133 - Coop Ext - County Prog Operations
151 - Academic Support Libraries
160 - Student Services
180 - Physical Plant Operations

102 - Summer Term Instruction
106 - NCSU Vet Med
121 - Ag Research Admin
123 - Ag Research Stations
132 - Coop Ext - State Prog Operations
142 - Public Service Community Services
142 - General Academic Support
170 - Institutional Support
230 - Student Financial Aid
Fun with Financial Terminology

• What is class (sub class/appropriation code)?
  – Appropriation Code - provides the basis for determining restricted versus unrestricted activities and balances. Also identifies unique funding types such as clearing projects, auxiliary projects, discretionary projects, student fee projects, federal contracts and grants, state appropriations, federal appropriations, overhead receipts, etc.

  – Allows queries to be run
Fun with Financial Terminology

• Types of Projects:
  – 2-00000 thru 2-49999 Academic Affairs, State Appropriated Funds
  – 2-50000 thru 2-99999 Overhead Receipts (F & A)
  – 3-00000 thru 3-49999 Academic Affairs, Appropriated Receipts
  – 3-50000 and 3-99999 Trust Fund Range/Auxiliary Enterprises
  – 4-00000 thru 4-99999 Agricultural Programs, State and Federal Appropriated Funds
  – 5-xxxxx Contract & Grants/Industry Membership Centers
  – 6-xxxxx Foundations
  – 7-xxxxx Gift/Endowment
  – 9-xxxxx Agency Projects

Ledgers
Upper/Lower Ledger
Fun with Financial Terminology

Fun with Financial Terminology

• Naming Convention
  – Connection to HR
Fun with Finance

- **Projecting Salary**
  - **Annual Salary**
    - Job Data – Compensation Tab – Click on “Pay Rates” Arrow
      - Daily, Hourly, Monthly and Annual Rates
    - Vacation/Bonus Payout
  - **Summer Salary**
    - 9 month employees
    - May/August ½ month & June/July 1 month
    - Standard Operating Procedures
      - Note Limitations on Sponsored Projects
        - Mandatory tutorial for all involved with processing or receiving summer salary paid from sponsored projects
  - **Annualized Salary**
    - Graduate Student
      - Biweekly Rate: If you have a biweekly rate, multiply it by 26 (# of biweekly pay periods in a year)
      - Monthly Rate: Multiply this rate by 12 (# of months/year)
    - **Non-Tenure Track Faculty**
      - Semester (Remember X 2)

- **Salary Distribution Changes or Salary Redistributions**
  - How to enter a SDC/SR
  - Contracts and Grants
    - [https://cng.ncsu.edu/systems/redistributions-faqs/](https://cng.ncsu.edu/systems/redistributions-faqs/)
  - Form
    - Unique to unit or division
Fun with Finance

• Cost of Benefits
  – Contract & Grant Rate
  – University Rate
    • NC State Benefits Pool
Fun with Finance

• Cost of Benefits
  – Contract & Grant Rate
    • https://research.ncsu.edu/sparcs/budgeting-guidelines/budgeting-fringe/
  – University Rate
    • NC State Benefits Pool
    • Why a Benefits Pool
  • How to Calculate Benefits
    – https://budget.ncsu.edu/budgetoffice/a_to_z.php
Fun with Finance

- Employee Benefits & Withholding
  - We do not advise on either
Fun with Finance

• Why are you so important to NCSU?
• What is a Department ID/OUC?
• What do you know about a project id?
• What do you know about an account code?
• What do you know about calculating benefits?
• What do you know about calculating summer salary?
• How do you calculate annual faculty salary?
Fun with Finance

Questions
HR Compliance & Integrity
Brad Trahan
Unethical Cultures in the Workplace
Agenda

• Compliance & Integrity Program at NC State
• Framework for Ethical Decision Making
• Reporting Misconduct and Whistleblower Protections
• Table Top - Hypothetical Scenarios
UNIVERSITY COMPLIANCE FRAMEWORK

BOARD OF TRUSTEES

BOT AUDIT, RISK MANAGEMENT & FINANCE COMMITTEE

CHANCELLOR

INTERNAL AUDIT DIVISION

OFFICE OF GENERAL COUNSEL

UNIVERSITY COMPLIANCE STEERING COMMITTEE

Executive Vice Chancellor and Provost (Chair)
Vice Chancellor and General Counsel
Vice Chancellor for Information Technology
Vice Chancellor for Finance & Administration
Vice Chancellor for Research, Innovation & Economic Development

UNIVERSITY COMPLIANCE & INTEGRITY MANAGER

COMPLIANCE OFFICIALS WORKING GROUP

Deputy General Counsel (Chair)
AVC for Human Resources
AVC for Research Administration
AVC for Finance & Administration University Treasurer
AVC for Environment Health & Public Safety
Director of Security and Compliance, OIT

Senior Associate Athletic Director for Compliance
Vice Provost for Student Development, Health & Wellness
Research Compliance Officer & Facilities Security Officer
Director of Outreach, Communications & Consulting, OIT
Vice Provost for Institutional Equity & Diversity
Senior VP for Academic Strategy & Resource Management

*University Compliance & Integrity Manager
NC State Compliance & Integrity

NC State Compliance and Integrity Program

Home

Compliance
Compliance in NC State’s business practices is vitally important to our mission and to maintain the public’s trust.

Integrity
As one of the University’s core values, integrity at all times, in all endeavors is what we are about.

Reporting
NC State encourages you to report any suspected incidents of misconduct. Click here to make a report.

compliance.ncsu.edu
Compliance Program Attributes

- Division of Ownership & Accountability
- Policies, Regulations & Rules
- Response & Prevention
- Program Implementation
- Monitoring & Metrics
- Culture Communication
- Ethics & Values
- Branding & Marketing
- Matrix
- Training
Framework for Ethical Decision-Making

1. Is it legal?
   a. **No** - Do not proceed. Contact OGC for other options
   b. **Not sure** - Ask for help. Contact OGC
   c. **Yes** - Ask...

2. Does it comply with NC State PRRs?
   a. **No** - Do not proceed. Contact OGC for other options
   b. **Not sure** - Ask for help. Contact OGC
   c. **Yes** - Ask...

3. Is it consistent with NC State’s values, mission, and culture?
   a. **No** - Do not proceed. Contact OGC for other options
   b. **Not sure** - Ask for help. Contact OGC
   c. **Yes** - Ask…
Framework for Ethical Decision-Making

4. Would you feel comfortable if others knew about it or did it?
   a. No - Do not proceed. Contact OGC for other options
   b. Not sure - Ask for help. Contact OGC
   c. Yes - Ask...

5. Could you defend your decision if it appeared in the news?
   a. No - Do not proceed. Contact OGC for other options
   b. Not sure - Ask for help. Contact OGC
   c. Yes

Proceed.
### Reporting

#### North Carolina State University

<table>
<thead>
<tr>
<th>Category</th>
<th>Issues</th>
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</table>
| **Academic Affairs**           | - Academic Misconduct  
- Other Academic Affairs Matters                                       |
| **Athletics**                  | - Fraudulent Activities  
- Improper Benefits  
- Recruiting  
- Other Athletic Matters                                                      |
| **Contract and Financial Matters** | - Falsification of Contracts, Reports or Records  
- Fraud  
- Improper Giving or Receiving of Gifts  
- Improper Supplier or Contractor Activity  
- Theft / Embezzlement  
- Waste, Abuse or Misuse of Institution Resources  
- Other Financial Matters                                                      |
| **Human Resources**            | - Conflict of Interest - Human Resources  
- Discrimination or Harassment  
- Employee Benefits Abuses  
- Employee Misconduct  
- Nepotism  
- Time Abuse  
- Unsafe Working Conditions  
- Other Human Resource Matters                                                  |
| **Information Technology**     | - Data Privacy/Integrity  
- Malicious / Inappropriate Use of Technology  
- Misuse of Resources  
- Software Piracy/Intellectual Property Infringement  
- Other Information Technology Matters                                        |
| **Research**                   | - Conflict of Interest & Conflicts of Commitment  
- Fraud  
- Human or Animal Research  
- Intellectual Property Infringement, Misappropriation or Disclosure  
- Research Grant Misconduct or Misappropriation of Costs  
- Research Misconduct  
- Other Research Matters                                                        |
| **Risk and Safety Matters**    | - Environmental and Workplace Safety Matters  
- Hazing  
- Public Safety  
- Sabotage or Vandalism  
- Student Safety  
- Student Travel  
- Suspected Abuse of Minors  
- Unsafe Working Conditions  
- Other Risk and Safety Matters                                                  |
| **Other**                      | - Other  
- Suggestion  
- Concern  
- Inquiry                                                                      |

**Ethics Point Hotline 1-844-599-8786**
ncsu.ethicspoint.com

**Fraud, Waste, and Abuse of State Property Hotline 919-515-8355**
Internal Audit Division

**Clery Act Reporting 919-515-3000**
Campus Security Authority Incident Reporting

**Discrimination, Harassment, Retaliation, and Title IX Reporting**
Office of Institutional Equity and Diversity

**Research Compliance**
Sponsored Programs and Regulatory Compliance

**Occupational Accidents, and Illnesses Reporting**
Environmental Health and Public Safety

**Athletics Compliance 1-855-5COMPLY (526-6759)**
Report a possible violation
Tabletop Exercises
Scenario 1
Scenario 2
Scenario 3
Compass powered by Skillsoft

Certification Preparatory Courses

Recertification Credit Courses
Digital Badge
lod.hr.ncsu.edu

Learning and Organizational Development

What We Do

Learning and Organizational Development (L&OD) builds the knowledge, skills, and abilities of NC State’s workforce by helping them develop and achieve their potential so that the organizations they work for can succeed and grow. L&OD fosters a learning culture where employees are engaged in continuous learning. We facilitate this learning by delivering talent and organizational development strategies and services focused on motivating, engaging, and educating a committed and high-performing workforce. We design the best solution to assist you and/or your team in achieving higher team morale and performance. We develop NC State’s talent to Think and Do.

Learning and Organizational Development Staff Directory
HR Professionals at NC State

The role of HR professionals at NC State is integral to the success of the university. It requires a blend of technical expertise in multiple areas, an understanding of human behavior, knowledge of governing laws, and the ability to provide strategic guidance. HR professionals demonstrate leadership skills at every level within the university, even if they are not in a formal leadership role.

https://lod.hr.ncsu.edu/hrprofessionals/
Complete Conference Evaluation

YOUR FEEDBACK MATTERS