

**UNC Tomorrow Phase II Campus Response
Faculty and Staff Recruitment and Retention**

Submitted to:

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1. Is your campus engaged in a thoughtful and deliberate planning process to address your campus' workforce needs now and for the future?

A. Do you believe you have a thorough understanding of your current workforce and the changes that will be occurring over the next 5 years?

The most significant influences on NC State's workforce at in the next 5-10 years are expected enrollment growth and an increased exit rate for faculty and experienced staff, primarily due to retirement. NC State has developed projections for faculty and staff hiring through 2017, paralleling our enrollment plan. However, given deteriorating economic conditions and uncertain state funding for the near future, actual hiring may differ significantly from our projections, and declining returns on retirement investments are likely to slow expected retirement rates, particularly for the vast majority of faculty who are enrolled in the Optional Retirement Program. Our enrollment projections assume full enrollment funding; however, in the absence of full funding, NC State would be forced to re-examine its enrollment plan and reduce the number of admitted students. Expected permanent reductions in state funding will make it difficult to retain existing faculty and staff and challenge our ability to replace exiting faculty and staff.

Despite the external influences cited above, NC State has responded to this UNC Tomorrow question using its current hiring projections, which were developed before the national and state budget crises were fully apparent. We will be working throughout the remainder of the fiscal year to adjust our projections as we develop plans for operating with reduced funding for 2009-2010 and beyond.

Our hiring projections are based on projected increases in enrollment through 2017 and associated growth in faculty and staff. Table 1 includes projected increases in total faculty, tenured and tenure-track faculty, and staff. The higher percentage increase among faculty reflects a projected increase in the proportion of graduate and professional students by 2017.

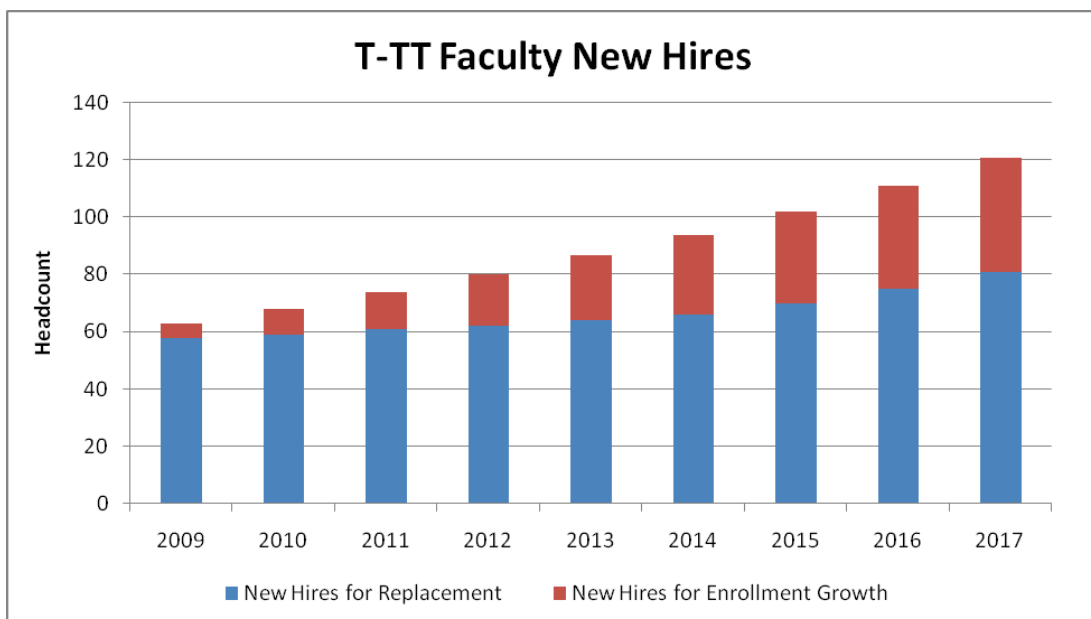
Table 1: Increases in Students, Faculty, and Staff 2007 to 2017

	2007	2017	% increase
Students	31,871	40,000	22%
Faculty			
Total	1,939	2,500	29%*
T/TT	1,515	1,928	27%*
Staff	6,188	7,500	22%

Because NC State competes nationally and internationally in hiring faculty members, we have focused in particular on the increase in annual tenure-track/tenured faculty hires required to meet increased enrollment and higher exit rates. Based on analysis of the age structure and current exit rate for faculty, NC State predicts an increase in the exit rate from a current rate of 9% to 11% for the next ten years. Of course, a decrease in the exit rate would lead to a decrease in the hiring rate.

Figure 1 shows the projected increase in hiring among tenure-track/tenured faculty 2009 through 2017 as a result enrollment growth (red) and exit rates for faculty (blue).

Figure 1: Increase in Tenured/Tenure Track Faculty Hires 2009-2017



The projected demand for faculty and EPA and SPA staff create significant challenges for the institution. Deans, vice chancellors, and faculty members have identified a range of implications for recruitment and retention in academic and non-academic units. The most significant challenges include the following:

- Improved recruitment and retention efforts to replace departing faculty members and meet the needs of increased enrollment, particularly since comparable retirement patterns among peer institutions nationwide will increase competition for top faculty
- Time and resources for course development and training to prepare for a planned increase in distance and on-line courses to accommodate enrollment growth
- Additional faculty and expanded graduate student support for an increased proportion of graduate students
- Planning in colleges and departments for an appropriate mix of tenure-track/tenured faculty and non-tenure-track faculty, including “career path” non-tenure-track faculty focused in teaching, clinical, research, or extension who have rank and are eligible for promotion.
- The impact on non-academic units of increased numbers of students and faculty and changing educational demands:
 - In Information Technology, demands for new services by students, faculty, and administrative units will require hiring additional professionals in competition with private sector employers.
 - In Advancement, with possible declines in state support, hiring needs will expand in such areas as major gifts fund raisers, alumni relations, advancement services and public affairs.
 - In Student Affairs, additional faculty and professional staff will be needed to meet the needs of a larger and more diverse student body.
 - In Facilities Management, there will be additional demands to create and maintain academic and research space as well as campus physical systems and infrastructures.
 - Throughout the University, additional staff will be needed in areas whose work increases as a function of increased students and faculty members (e.g., Legal Affairs, Admissions, Disability Services, etc.)

NC State will continue discussions about more effective ways to recruit and retain faculty and staff, particularly in light of economic conditions that create significant budget uncertainty.

B. Have you begun to identify the . . . skill sets or competencies needed over the next 5 to 10 years?

In addition to increasing the number of faculty, professionals, and support staff, NC State recognizes that the skills and competencies of newly hired faculty and staff will need to reflect changes in academic programs and technology, particularly in light of

NC State focus areas such as health and well-being, energy and the environment, and educational innovation. These focus areas are also central to the goals of UNC-Tomorrow.

These and other fields will require faculty members with new or enhanced competencies:

- More interdisciplinary faculty, some with joint appointments, in NC State's focus areas, including climate change/global warming, human and animal health, water quality and management, affordable/sustainable housing, sustainable/systems-based agriculture, alternative energy sources, entrepreneurship, and globalization. Major granting agencies also increasingly seek interdisciplinary projects in their calls for proposals in these and other areas.
- Increased competencies in instructional technology among faculty and staff for traditional classrooms and distance/online teaching and learning, new data analysis techniques for research, new ways to deliver student services, and enhanced university operations. Access to emerging technologies and high-quality information technology resources will have a critical impact on NC State's ability to recruit and retain excellent faculty and staff.
- Given demographic changes in the NC and US populations, faculty in new areas such as family resource management (to respond to retirees' emerging health, financial, and quality of life needs); greater K-12 focus on critical education issues (such as expanded STEM education, drop-out rates, and demand for new teachers); nutrition and health (including childhood/adult obesity, diabetes, etc.); and workforce retraining
- Faculty with significant international experience to globalize the university and K-12 curricula and to support expanded international education opportunities for students
- Faculty willing and able to work in off-campus locations within the state and internationally
- Excellent teaching faculty within majors and the general education program
- Professional staff in non-academic units to support an expanded number of faculty and students, including expanded information technology services in areas such as converging network and communication technologies, IT security, enterprise applications development, evolving web technologies, and virtual and high performance computing
- New skill sets for EPA professionals and SPA employees as work evolves from processing manual transactions to using sophisticated enterprise data systems (accounting, budgeting, environmental health/safety, facilities management, HR management, etc.) and technology and regulatory/legal compliance become more complex (building control systems, grants accounting, environmental health and safety, human resource management, and other areas)

C. Do you have the analytical tools you need to conduct a workforce planning process?

NC State's human resources data system meets most essential workforce analysis needs. With the implementation of new information systems, NC State is developing data repositories and retrieval tools to combine and analyze information from disparate sources more efficiently. More sophisticated dashboard/metrics analytic and reporting tools would provide enhanced use of data for improved business intelligence and organizational decision-making. NC State's Institute for Advanced Analytics is designed to produce graduates who are prepared to employ advanced analytics techniques.

D. Is Human Resources included in your organization's solution strategies to enable your organization to accomplish its mission, goals, and objectives?

Human Resources is involved in planning for faculty and staff needs and can provide consultation services to campus units in a number of areas such as

- Organizational design and development
- Employment relations
- Proactive recruitment strategies
- Support for searches for high-level and hard-to-fill positions
- Employment relations

Human Resources has developed several programs to assist in recruitment:

- Creating a fulltime professional recruiter role focused expressly on hard-to-fill technical and professional vacancies.
- Developing an in-house executive search recruitment function to assist hiring departments to proactively recruit for high-level academic and administrative leadership positions.
- Working toward transforming its historically transaction-focused "employment specialists" into more strategic "recruitment partners" who will collaborate more proactively with hiring departments

Other offices such as the Office of Equal Opportunity provide assessment of the hiring market and establish diversity hiring goals in key areas.

2. With respect to critical talent issues, have you begun to identify gaps and surpluses between the present and the future with respect to leader and worker shortages?

A. Have you implemented or do you have plans to implement a proactive recruitment strategy designed to attract top talent and identify candidates to target hard-to-fill positions?

Within the Colleges, faculty and administrators have developed a number of strategies for recruiting high-caliber and diverse faculty:

- Appointing interdisciplinary committees to plan “cluster hires” of faculty in energy, health and environment, and other interdisciplinary areas for which established networks for recruiting faculty are less successful
- Using “target of opportunity hires” to respond to unexpected hiring opportunities, e.g., senior candidates who turn up in a junior faculty search, hires who can help the university and a college achieve diversity goals, or multiple hires in searches that produce several strong candidates
- Increasing the number of named professorships to attract and retain senior faculty in critical areas
- Taking advantage of the President’s faculty and staff recruitment fund.
- Maintaining informal networks with professional associations and other highly ranked programs to identify and recruit top PhD candidates and post-doctoral researchers
- Creating special advisory groups in key areas to help identify needs, top personnel available, and top universities and research centers in targeted areas
- Hosting international research conferences to further strengthen our reputation and bring targeted leaders to our campus
- Proactively recruiting the spouses and partners of faculty who have been offered positions.
- Using national databases identifying women and minority faculty candidates
- Using programs such as Building Future Faculty to keep in touch with graduate students and advisers at other universities to identify promising faculty hires
- Establishing internships to help train graduate students interested in pursuing academic careers and identify potential candidates for faculty positions.
- Creating administrative positions responsible for ensuring diversity and assisting in recruiting and retaining diverse faculty.

Non-academic units have identified a number of targeted recruitment strategies:

- Contracting with national online recruiting firms or using NC State’s executive search program for difficult to hire management positions
- Encouraging personnel to identify high performers from related functions at the University and encourage them to explore career opportunities in new functional areas.
- Networking among colleagues to identify promising staff from other universities.
- Reaching out to NC State students, particularly from under-represented populations, by providing internships and part-time positions to interest them in university positions.

B. Have you developed or do you have plans to develop a strategy to retrain, redeploy or reduce-in-force employees where functions are not needed in the future?

Given projected increases in enrollment and retirements and the resulting need to fill vacant and new positions, NC State has not planned for large-scale reductions-in-

force. However, the impact of national and state economic conditions may impact these assumptions.

Even if reductions in force are not needed, retraining and limited redeployment of faculty and staff may be necessary. Units need flexibility to employ the following practices for retraining and redeployment:

- Moving vacant positions to new areas where expansion is expected.
- Redirecting funds from administrative and clerical support positions to areas of new need such as instructional technology positions.
- Increasing the use of joint appointments across departments and colleges to support increasing interdisciplinary teaching, research, and outreach.
- Providing faculty time and resources, including off-campus scholarly leave, to enable faculty to maintain currency, reinvigorate their teaching, research, and outreach, and gain new skills and experiences that will allow them to move their program into new directions.
- Using the tuition waiver program strategically to encourage staff with strong competencies to pursue academic training and degrees which will increase their qualifications for needed positions.
- Providing opportunities for staff to participate in professional development programs.
- Increasing cross-training of staff, particularly to support laboratories and equipment.

3. With respect to the aging workforce and attrition, have you evaluated the percentage of employees who will be eligible for retirement over the next 5-, 10, 15-, 20-year period and the impact this will have on your campus' workforce?

A. Have you addressed how you can improve recruitment and retention of employees and reduce turnover in your organization?

See section 2.A. on recruitment and sections 5 and 6B on programs and tools needed to improve retention.

B. Are there policies or programs that General Administration should consider implementing that would help to improve your campus' recruitment and retention efforts?

- Immediate or 1-year vesting and increased employer contributions to the Optional Retirement Program (ORP)
- Employer contributions for dependent healthcare
- Health insurance and other major benefits for domestic partners
- Campus tuition waivers for dependents of faculty and staff

- ORP eligibility and additional annual leave for SPA professionals
- Commitment to keep career-banded salary averages at competitive market averages
- Bonus pay and merit-based increases for SPA employees
- In light of economic uncertainties, fiscal exigency policies that offer flexibility in responding to the emerging economic crisis
- A more appropriate taxonomy of EPA professional positions
- Separation from the state's personnel system in order to better manage the University's unique personnel requirements, labor market realities, and employment practices

C. Has the availability of phased retirement been helpful in addressing faculty recruitment, retention, and retirement issues? Given the increasing numbers of non-tenured and non-tenure track faculty on UNC campuses, should phased retirement be extended to these faculty?

The Phased Retirement Program has been a useful management tool, although it has both positive and negative effects on personnel planning and administration.

- PRP can help retain valuable retirement-age faculty for three years who might otherwise have retired fully. It can enable a college to retain skills, teaching and research expertise in selected areas while recruiting replacements.
- Because PRP and federal and state laws do not allow deans and department heads to encourage less productive faculty to enter the program, the university cannot use the program strategically to ensure that the most productive faculty are retained or that less productive faculty consider phased retirement.
- When a faculty member enters the program, his or her position is in limbo for 3 years, since half of the retiring faculty member's salary is often not adequate to hire a replacement, even at the Assistant Professor rank. While the position is in limbo, research activity in an area can slump and engagement efforts may stagnate.
- PRP does not apply to any significant extent to faculty in the ORP; because the proportion of these faculty grows each year, PRP becomes less relevant. UNC should consider other types of retirement incentives benchmarked by peer institutions in the US and around the world.
- Phased retirement opportunities could be attractive to career-path non-tenure track faculty and EPA professional positions and allow more flexibility for units to phase in replacements or hire part-time people as new staff needs develop.
- Reducing the six-month break in service before re-employing employees not eligible for phased retirement is an urgent need. UNC should advocate for a change in legislation to allow for a shorter break in service so employees with key competencies can be rehired.

4. With respect to worldwide demographic shifts in age and ethnicity/race, what challenges have you identified for your university at the present time, or within the next 5 years, as a result of demographic shifts?

According to the 2006 *Survey of Earned Doctorates*,

- 63% of research doctorates were awarded to US citizens in 2006; the percentage is even lower in some disciplines, ranging from 32 % in engineering and 47% in physical sciences.
- The percentage of doctorates awarded to US racial/ethnic minorities in 2006 was 20%, a slowly increasing percentage that varies significantly across disciplines.
- Women were awarded over 50% of new doctorates to US citizens in 2006, continuing a four-year trend.

According to previous surveys, only 55 percent of US doctoral recipients with post-doctorate employment plans reported that they intended to work in education (2003 *Survey of Earned Doctorates*).

These trends have implications for the pipeline for faculty recruitment and for retention in higher education generally as well as for UNC and NC State.

- Since international faculty are likely to remain a significant proportion of new hires, assistance with immigration processes will continue to be a challenge for NC State and other research universities.
- As the percentage of racial and ethnic minorities in the NC and US population increases, the percentage of minorities receiving PhDs will also need to increase. However, unless the college graduation rate for minorities increases, the pipeline for PhDs overall, not just for minority PhDs, will be reduced. UNC and NC State need to increase efforts to increase the number of minority undergraduate degree recipients and attract them to graduate study and academic careers, particularly in high-need areas where the current proportion of minority PhD recipients is very small.
- Programs to recruit and retain female faculty need to be strengthened, including spousal/partner hiring, expanded paid leave to meet family responsibilities, ability to move to part-time employment below 75% without losing health and retirement benefits, and improved access to childcare. NC State is addressing many of these issues, but declining funding will limit the institution's options for meeting the needs of an increasing number of female faculty members.
- Increasing numbers of Generation X and Millennial faculty members will bring new expectations for support programs and benefits and a more flexible workplace.
- Competition from non-academic institutions needs to be countered by more attractive compensation and a climate supportive of the needs and contributions of faculty.

- Among staff, an increasing number of non-native-English speakers in first-level service and maintenance positions creates communication challenges among and between employees, supervisors, and customers/service recipients.
- Pending retirements and insufficient pipelines in skilled non-academic positions will challenge NC State's ability to recruit and retain employees in critical positions.

5. What are some of the barriers that your University is facing with respect to recruiting and retaining high potential talent? What additional resources/flexibilities would be helpful to help you address these challenges, e.g., policies, programs, compensation, benefits, etc.?

- Compensation
 - Ongoing challenges exist in both salary and benefits. Campus rankings in these areas relative to our peers hurt recruitment, and the State of North Carolina benefit package is becoming less and less competitive. If newly hired faculty do not realize this when an offer is made, they quickly do so once employed, impacting morale and retention. Costs of health benefits for dependents, low contributions to retirement programs compared to other universities, and the five-year vesting requirement for retirement programs limit UNC institutions in competing with universities in other states.
 - While the UNC recruitment/retention fund has been helpful in retaining some faculty members, it requires a written offer at another university and cannot be used for start-up packages, which are often as important as compensation in recruiting new faculty members. Funds are also needed for pre-emptive actions to prevent valuable faculty from seeking jobs at other institutions, since it is often too late to retain a faculty member after he or she has received an attractive offer elsewhere.
 - Salary compression is difficult to address with limited resources for salary increases beyond annual legislative increases.
 - Among non-academic units, departments often hire entry-level staff and provide them an excellent training experience, only to see them recruited away for better salary and benefits.
- Start-up costs
 - The greatest recruitment barrier for faculty is the cost of start-up packages, particularly for new faculty in experimental areas (equipment, lab renovations, technicians, postdocs, graduate assistants, etc.). Typical costs in STEM disciplines are \$500K - \$1M, even for a junior hire.
 - Start-up costs are a problem not only for colleges with science and technology disciplines. A recent informal poll of NC State deans revealed that a similar proportion of the budgets in each of the colleges is spent on start-up costs, regardless of college disciplines.
 - Start-up costs cannot be supported by enrollment funding alone, whose purpose is to support instruction rather than research infrastructure. Although

- every faculty member is expected to develop a research program, we do not receive resources to support their research.
- Typically, colleges and departments must find resources from fund-raising or grants to fund all or part of a start-up package. Their limited resources limit the number of new tenured and tenure-track faculty they can afford; as a result, they sometimes resort to hiring part-time, non-tenure-track faculty or graduate assistants. In the long run, this risks degrading the quality of instruction and research and could lead to problems with accreditation.
 - Space
 - The supply of high quality classroom, office, and laboratory space is limited, although NC State has made substantial gains as a result of the bond build-out.
 - NC State has explored the possibility of combined, multi-use laboratory facilities; space that can be flexibly allocated to faculty as needs arise and redeployed as appropriate will continue to be included in future capital planning.
 - Although many departments have benefited in recent years from new and renovated space, others relegated to older, unrenovated buildings have difficulty competing for faculty and face costs for repairs and maintenance of outdated facilities.
 - Flexible appointments
 - Many departments are considering more use of flexible appointments, e.g. permanent or temporary part-time tenure-track positions, for spousal hires or to accommodate work-life balance.
 - The 0.75 FTE requirement for employer contributions to benefits eligibility limits employment flexibility in appointments.
 - Searches/relocation expenses: The high costs of national searches and difficulties in offering reimbursement for relocation expenses are obstacles to recruitment.
 - Spousal/partner hires
 - While several offices offer assistance in finding academic and non-academic for spouses and partners, finding positions in other departments for spouses and partners of new hires requires significant effort by department heads and does not always result in reciprocity in future hires.
 - Jobs and benefits for domestic partners are increasing issues in recruitment. We cannot offer “spouse-comparable” benefits to potential hires who are in domestic partner relationships; universities with which we compete in recruitment are often able to provide such benefits.
 - Faculty Support
 - Faculty-centered policies and programs are needed to provide support, particularly for new faculty, that assist rather than frustrate faculty (grants and contracts, tech transfer, travel reimbursements, parking, etc.)
 - Because budget reductions and reallocations over many years have led to significant reductions in the number of administrative support positions, faculty are increasingly expected to spend time on administrative and management tasks that could be accomplished more effectively and at less cost by staff employees.

- In NC State's 2005 Faculty Well-Being Survey, faculty commented that they are required to comply with too much red tape and are responsible for "busy work" that takes time away from their teaching/research/engagement responsibilities. In many cases this time is spent on compliance issues and unfunded mandates from the state and federal governments, the UNC system, or the university.
- Faculty housing: For many prospective employees, the Triangle is an expensive place to live, particularly compared to other parts of the state and to the locations in which competing universities are located. Higher gas prices are impacting those who buy houses distant from campus in more affordable areas of the region. The availability of convenient and affordable housing is likely to become an increasing challenge for the recruitment and retention of new faculty and staff.
- Support for graduate students: Access to top graduate students directly affects NC State's ability to recruit top-quality faculty members. Without adequate funding for stipends and tuition support for the Graduate Student Support Plan, NC State loses many promising graduate students to other universities. The inability to waive tuition and fees for supported graduate students means that faculty have to pay in-state tuition, fees and student health insurance from their grants. If we cannot attract those students or if it costs too much to support them, we may lose the best faculty.
- Tuition Assistance: A comprehensive tuition assistance program for the dependents of faculty and staff members would allow NC State to compete more effectively against other universities in hiring faculty and staff.

6. With respect to managing a diverse multi-generational workforce, how are you defining diversity in your university?

An extensive body of scientific research has determined that having a diversity of people and ideas on college campuses can result in a number of important cognitive and developmental benefits. In addition to these benefits, diversity on college campuses has been shown to help prepare students to live and work in the global community.

NC State defines diversity as an inclusive community of people with varied human characteristics, ideas, and world-views and whose interactions both benefit and challenge each other to grow while making the community better. Such a community will:

- Enhance access, attract and retain a diverse population and promote equity and equal opportunity
- Encourage interaction among diverse people to enrich the educational experience, promote personal growth and enhance the community
- Foster mutual respect, value differences and promote cross cultural understanding

- Prepare leaders to live and work in a competitive global community

NC State comprises a diverse community of individuals from varied backgrounds and demographic categories; it encourages, accepts, and values a diversity of people and ideas; it seeks to promote an environment where equity, respect and understanding represent the norm in the campus climate; and it seeks to prepare entrepreneurs who are effective citizens of a global community. We will know that we have achieved authentic diversity when all four of these objectives are fully realized.

A. Are you setting goals for achieving increased diversity among faculty and staff?

Goals for achieving increased diversity among faculty and staff are articulated in two major documents, the NC State University Diversity Strategic Plan and the NC State Affirmative Action Plan. Goals for increasing diversity are also in many of the Unit/College Affirmative Action Plans.

Diversity Strategic Plan.

Goal 1: NC State will increase the presence, participation, and success of diverse individuals throughout the NC State community and achieve *the critical mass necessary to ensure the educational and work performance benefits of diversity.*

Affirmative Action Plan

NC State sets annual placement goals for administrators, faculty, and professional staff. Placement goals are minimum campus-wide targets for each group. They do not represent the ultimate goal which is, over time and absent discrimination, that the employee workforce of NC State University will generally reflect the gender, racial and ethnic profile of the labor pools from which the institution recruits and selects. Placement goals are expressed as the percentage rate/ratio necessary to achieve full utilization of women and/or minorities in the university's workforce.

Unit Affirmative Action Plans

As part of the affirmative action planning process at NC State, each college and major administrative unit prepares a Unit Action Plan, a detailed description of the placement goals, recruitment strategies and other employment-related activities intended to increase the representation of minorities and women in the workforce. Unit Action Plans describe both long and short-term goals and identify a timeline for attaining the stated goals. Placement goals and timetables take into account the availability of protected class members currently employed in the unit as well as qualified persons available in the relevant labor market. In addition to establishing realistic and attainable hiring goals, units are asked to examine their employment-related processes, such as any requirements for promotion, professional development, training, salary adjustments, discipline, and the workplace environment to identify any impediments to the full utilization of women and minorities.

B. Have you implemented programs, policies and activities to support diversity in your university? If so, describe those diversity initiatives? Have you found them to be effective, and if so, how do you measure effectiveness?

To support diversity, the University has implemented an extensive array of programs, policies and activities in three major areas:

- Faculty and Staff Recruitment and Pipeline Programs: Central to the University's strategic effort to support diversity at NC State are programs that prepare outstanding men and women to join the professoriate or to serve on our staff.
 - Pre-College Programs: The Office for Pre-College Programs provides a one-stop-shop for over thirty academic pre-college programs in a variety of academic disciplines aimed at helping students prepare for college while experiencing college life at NC State. Programs available for elementary, middle, and high school students provide college planning resources and conduct visitation program for middle and high school students from schools, churches, and community organizations.
 - Recruitment at Professional Conferences. Members of the campus community representing colleges, departments and diversity offices across campus attend professional conferences to recruit future faculty and staff. In addition to discipline-specific conferences, the university sends representatives to major minority faculty recruiting fairs like the Southern Regional Executive Board Institute on Teaching and Mentoring, a four-day conference that has become the largest gathering of minority doctoral scholars in the country.
 - The Building Future Faculty Program. The N C State Building Future Faculty Program is an annual two-day all-expenses paid workshop for doctoral students and post-doctoral scholars who are interested in pursuing academic careers, who are committed to promoting diversity in higher education, and who are one to two years away from beginning a job search. Participants attend sessions describing life as a faculty member at a research extensive university, expectations for new faculty, and resources available to faculty for help with research and teaching.
 - Pathway to the Professoriate Program. Funded by the National Science Foundation, the NC State Alliances for Graduate Education and the Professoriate (AGEP) Program is a comprehensive effort to create a better pathway to the Ph.D. and the professoriate for students in science, technology, engineering, and mathematics disciplines, as well as the social sciences. Programs offered through AGEP at NC State include campus visits, undergraduate summer research experiences, bridging programs, a future faculty recruitment program and others. Examples include N C Alliance to Create Opportunity through Education (NC-OPT-ED) Alliance Day, a national conference for students from middle school through graduate school, "crosstalks" to provide Ph.D. students from different universities the

opportunity to network with one another, and an annual workshop on mentoring for current and future faculty.

- Diversity Grants and Financial Support for Graduate Education. Funded by the National Institutes of Health (NIH), the Initiative for Maximizing Student Diversity provides mentoring, professional development opportunities, and funding to NC State undergraduate and graduate students to help increase diversity in doctoral education and in the Ph.D. workforce in biomedical and behavioral sciences. For current graduate students, we also offer Diversity Enhancement Grants that provide supplemental fellowships up to \$4,000, depending on financial need. In addition, Directors of Graduate Programs are invited to submit nominations for supplemental Graduate School Diversity Enhancement Recruiting Fellowships to increase the amount funds offered to incoming graduate students.
- Faculty/Staff Search and Hiring Programs and Activities. In addition to creating a pipeline for future diverse faculty and staff, NC State aggressively pursues programs, policies and activities to recruit and hire the very best candidates in the pool.
 - Search Committee Education and Briefings. The Office of Equal Opportunity and Equity (OEOE) leads campus efforts to educate and prepare faculty and staff search committees, particularly with respect to our commitment to diversity. In addition to face-to-face briefings on best practices related to promoting diversity, the OEOE has created an online Search Committee Education Module to increase knowledge of correct, legal, and recommended hiring practices within the university community.
 - A Call to Action: What Leaders Can Do To Promote Faculty and Staff Diversity. In September 2007, the Office for Diversity and Inclusion and the Office for Equal Opportunity and Equity published this document, which calls for campus leaders to take action in four major areas in order to increase the demographic at NC State: senior leadership engagement, an aggressive affirmative action plan and process, effective employee retention plans, and a strong institutional commitment to metrics, accountability and reward of progress towards demographic diversity.
 - Target of Opportunity Hiring Policy. NC State's target of opportunity hiring policy allows departments speed and flexibility in securing faculty and staff candidates outside the standard hiring process. The process is most frequently used in hiring nationally renowned scholars in targeted curricular growth areas, attracting outstanding senior scholars, adding senior leadership to a program, and diversifying the faculty in areas where under representation exists.
- Faculty and Staff Retention and Success Programs. A third component of our strategic faculty and staff diversity effort promotes faculty and staff retention and success.
 - Faculty and Staff Retention Plans and Initiatives. Departments are strongly encouraged to develop and implement faculty and staff retention plans,

including department head diversity leadership training, mentoring and collaboration programs, maintaining inclusive climates in the departments, and promoting family and work/life balance. Other initiatives in this area include salary equity studies, competitive faculty start-up packages, the Assistant Professor's Learning Community, and the PURPOSE Institute, Promoting Under Represented Presence On Science and Engineering faculty. The Institute focuses on the recruitment, preparation and retention of African-American, Hispanic or Native American science and engineering faculty members in science and engineering.

- Welcoming and Inclusive Campus Climate. The campus sponsors and implements many programs and activities to promote minority faculty retention and success, such as a wide variety of diversity education programs offered by the Office of Equal Opportunity and Equity and throughout the campus community. Family friendly polices, tenure clock flexibility policies, childcare facilities, and parental leave polices all contribute to creating a welcoming and inclusive campus. In each of the colleges and several campus units, diversity coordinators develop and implement programs and activities designed to create a welcoming and inclusive campus climate. A wide range of organizations support an inclusive campus, including the Faculty Senate, the Staff Senate Diversity Committee, the University Diversity Advisory Council, the African American Faculty and Staff Organization, the Chancellor's African American Community Advisory Council, the Council on the Status of Women, the Association of Women Faculty, the African American Coordinating Committee, and the GLBT Center Advisory Council.
- Diversity Programs Assessment. These activities are assessed through the Office for Diversity and Inclusion Diversity Assessment Plan, the Office of Equal Opportunity and Equity Assessment Plan, surveys conducted by University Planning and Analysis Assessment, OEOE Exit Interviews for Separating Faculty, The NC State Diversity Fact Book, and the Faculty Salary Equity Study. Many individual campus units, departments and activities also produce their own diversity assessment plans.

7. With respect to succession planning, has your campus engaged in a systematic process to identify key employees and the critical competencies that these employees possess to prepare for their replacement? What level of professional management and leadership development programs are available for your senior and mid-level managers? Please describe.

Succession planning must be considered in light of the University's commitment to full and open recruitment for vacant positions, where all qualified candidates have the opportunity to compete for vacancies on their individual merits and qualifications. While NC State has a traditionally-strong record of promoting well-

qualified internal candidates for administrative and professional positions, the university needs to retain full flexibility to hire top external candidates who can bring new and alternative experiences and expertise to the institution.

NC State supports the participation of its faculty and staff in a range of leadership development programs at the institutional, state, and national levels, which help the university identify and prepare faculty and staff for future leadership opportunities.

- NC State is strengthening professional development opportunities on campus for department heads, center directors, and other faculty leaders. In particular, development programs are being developed for new department heads.
- NC State has received an NSF ADVANCE grant which will focus in part on assisting department heads in developing more supportive departments, reducing unconscious bias in hiring, and identifying and providing development opportunities to emerging leaders, particularly women and faculty from underrepresented groups. The grants aim is to create departmental climates that will improve retention of female and minority faculty members. Effective leadership development models developed through the ADVANCE program can be employed beyond the period of grant funding.
- The appointment of associate deans, associate department heads, and other departmental leadership positions such as directors of graduate programs provide training and experience that prepare them to be competitive for positions as dean and department heads.
- Human Resources offers a range of training and development programs for SPA staff, EPA professionals, faculty and administrators. These programs support employees in their current positions and can position them for future leadership positions.

8. Beyond what you may have already identified in Questions 1-7 above, are there any other significant issues relating to recruitment and retention of high-quality faculty and staff that you wish to highlight? If so, please provide a brief description of the issue, how you would propose the issue be addressed, and any related policy, regulatory, or other administrative changes needed.

- Although North Carolina's budget cuts have so far been smaller than those in many other states, fiscal concerns will impact the ability to recruit and retain faculty in the near future. Financial uncertainty creates low morale among faculty and staff, potentially impacting effectiveness and productivity.
- Applying the 12-cell enrollment funding matrix as an average across all schools generating credit hours within a cell negatively affects NC State's ability to conduct teaching and research.

- The State of North Carolina has not funded research at a level comparable to other states with whom we are compared. Funds for research excellence in the hundreds of millions of dollars are needed.