

July 29, 2013

Dear Colleagues,

Over the past eighteen months, a Faculty Handbook Revision Task Force (FHRTF), co-chaired by Mary Reichel and Tony Carey, worked with the Faculty Senate, faculty, chairs, deans, and other administrators to recommend several significant changes to the *Faculty Handbook*. Members of the FHRTF were Stella Anderson, Tony Calamai, Kelly Clark-Keefe, Martha McCaughey, John Whitehead, and Wayne Williams. These changes were passed by the Faculty Senate, submitted to me for approval, and, with some modifications, forwarded to the Board of Trustees, which approved them at its June 28<sup>th</sup> meeting. The new *Handbook* language is enclosed along with a brief overview of the implementation process and timelines. The complete 2013-14 version of the *Handbook* will be posted at <http://facultyhandbook.appstate.edu/> no later than August 9, 2013.

The *Handbook* revisions are the culmination of years of work on the part of faculty senators, members of various task forces, and many others. Some of the revisions were proposed in some form at least as far back as the mid-1990s. Collectively, the revisions bring Appalachian's *Handbook* into closer alignment with best practices found in similar documents at UNC system institutions and nationally. I strongly believe that the changes represent important improvements in our faculty workload, evaluation, and reward system. I extend my thanks to everyone involved in the serious, thoughtful conversations and hard work surrounding these issues.

Our challenge now is to implement the changes successfully. We must work together to understand and follow the new policies and procedures. We must also be alert to identify and correct any problems that arise. Our conversations, in short, need to continue.

Please address questions regarding the *Handbook* revisions to Dr. Tony Carey, Vice Provost for Faculty Development ([careyag@appstate.edu](mailto:careyag@appstate.edu), ext. 2643), or Dr. Mary Reichel, Special Assistant to the Provost ([reichelml@appstate.edu](mailto:reichelml@appstate.edu), ext. 2643), who will consult with others (for example, the Faculty Senate Chair or University Counsel) as necessary to respond to inquiries. A memo from Dr. Carey, which will provide answers to what we believe are likely be frequently asked questions, will be available soon. All materials pertaining to these *Handbook* changes will be announced to campus and posted on the Academic Affairs website as they become available.

Let me close by thanking all of you in advance for your involvement in implementing these changes in the coming months. Together, we will take strides toward building a better university.

Sincerely,



Lori Stewart Gonzalez, Ph.D.  
Provost & Executive Vice Chancellor

## ***Faculty Handbook*** **Revisions for 2013-14**

The following paragraphs present summaries of the major changes in the *Handbook* and brief overviews of the implementation process and timelines.

### III. 3.13 Special Faculty Appointments

New sections create and define ranks, titles, and career ladders for Special Faculty (i.e, non-tenure-track faculty), which are organized into the categories of lecturers and senior lecturers, clinical faculty, and research faculty.

We will work during the coming year to have initial appointments to ranks and titles in place before the start of academic year 2014-15. Additional information will be forthcoming from Academic Affairs after discussions with faculty senators, chairs, deans, and others.

### IV. 4.1 Creation of Departmental Promotion and Tenure Committees (PTCs)

These committees will consist of all tenured faculty (with certain exceptions as described in 4.1.6.1.) and will “make recommendations regarding contract renewal for tenure track faculty, Emeritus status, the granting of permanent tenure, and promotion to tenure track or tenured ranks...” (4.1.7.1).

We will implement PTCs during the 2013-14 academic year, which means that we must get PTCs organized to do the critical work of promotion and tenure evaluations at the departmental level during fall semester. Additional guidance on DPC implementation will appear shortly from Academic Affairs.

#### A Note on DPCs

Departmental Personnel Committees (DPCs) will still exist and be elected as in the past. Henceforth DPCs will be responsible primarily for making recommendations on the appointment and promotion of Special Faculty. Depending upon the procedures adopted by a department, DPCs may function as search committees for tenure-line hires or receive hiring recommendations from search committees for tenure-line hires (4.1.3.1).

### IV. 4.11.3.9

There has been a change to the section on Faculty Grievance Hearing Procedure to allow participation of advisor/advocates.

The only implementation required for this change is for the new policy to be followed in the event of a grievance hearing that arises from a future grievance—that is, a grievance that originates after the new *Handbook* takes effect at the beginning of the 2013-14 academic year.

### VI. 6.1 Faculty Workload

Old sections 6.1 to 6.4 have been revised and now appear as the new section 6.1. The revised language better encompasses the professional workload of faculty members.

During 2013-14, departments, colleges, the Faculty Senate, the Council of Chairs, Deans’ Council, and the faculty as a whole will need to engage in conversations about how to incorporate the new 6.1 section in the faculty annual review and workload assignment process.

## *Faculty Handbook* Revised Language for 2013-14

<b>Special Faculty</b>
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### 3.13 Special Faculty Appointments

**3.13.1** See *The University of North Carolina Policy Manual*, Section 400.3.1.1, concerning required discussions relating to the primacy of teaching.

**3.13.2** Faculty members who are appointed as visiting faculty members, adjunct faculty, lecturers, artists-in-residence, writers-in-residence, practitioners-in-residence, executives-in-residence, clinical faculty, research faculty, postdoctoral fellows, or other special categories are regarded as “special faculty members” for purposes of the University Code. Such appointments are non-tenure-track appointments. Prior to appointment or reappointment, the credentials of candidates for Special Faculty appointments will be reviewed by the Departmental Personnel Committee (see FH Section 4.1.3.1). Among special faculty, only Lecturers or Senior Lecturers have unit or university voting rights as specified in Article I of the Faculty Constitution.

**3.13.3** Special faculty members may be paid or unpaid. Such an appointment characterized by any of the foregoing title designations is appropriate for one who is qualified for teaching, research, academic administration, or public service but for whom neither the professorial ranks nor the instructor rank is appropriate because of the limited duration of the mission for which the appointment is made, or because of concern for continued availability of special funding for the position, or for other valid institutional reasons.

**[Note: Material within sections 3.13.2-3 in the old *Handbook* has been reorganized in the above new sections, and some has been moved to later parts of section 3.13, particularly 3.13.7.]**

#### 3.13.4 Lecturers

**3.13.4.1** Lecturers must possess at least a master’s degree from an accredited institution with 18 graduate credits in their field of teaching. The lecturer rank will be used for non-tenure-track faculty with a workload of at least nine hours or the equivalent per semester and a contract for an academic year or longer. Such appointments are eligible for benefits as allowed by the State of North Carolina. Lecturers have the opportunity to advance in rank based on a combination of length of service and meritorious service. However, advancement in rank is not required for reappointment. Appointments of special faculty members shall be recommended by search committees or DPCs as determined by the departmental faculty. Recommendations for promotions for special faculty members shall be the responsibility of DPCs. The rank of lecturer carries with it the requirement of teaching and institutional service.

**3.13.4.2** The rank of lecturer is appropriate for an initial appointment. There is no limit on the number of times that a lecturer may be appointed. Minimal criteria for consideration of appointment to the rank of lecturer are:

- (a) A master’s degree from an accredited institution with 18 graduate credits in their field of teaching;
- (b) Evidence of potential in teaching; and

(c) Evidence of potential in institutional service.

**3.13.4.3** Upon promotion to senior lecturer, faculty members retain their status as faculty members under Article I of the Faculty Constitution. Minimal criteria for consideration of appointment to the rank of senior lecturer are:

- (a) A master's degree from an accredited institution with 18 graduate credits in their field of teaching; and experience teaching a minimum of 40 courses (or the equivalent thereof) at the rank of lecturer at Appalachian;
- (b) Demonstrated ability in teaching; and
- (c) Demonstrated ability in institutional service to the university.

### **3.13.5 Clinical Faculty**

**3.13.5.1** The primary responsibilities of clinical faculty are clinical education and service. Clinical faculty must be qualified as defined by professional/discipline standards, have practical experience appropriate for the responsibilities assigned, and must maintain appropriate professional credentials. Clinical faculty have the opportunity to advance in rank based on a combination of length of service and meritorious service. However, advancement in rank is not required for reappointment. Such appointments are eligible for benefits as allowed by the State of North Carolina. Appointments of special faculty members shall be recommended by search committees or DPCs as determined by the departmental faculty. Recommendations for promotions for special faculty members shall be the responsibility of DPCs.

**3.13.5.2** Minimal criteria for consideration of appointment to the rank of clinical instructor are:

- a) A master's degree from an accredited institution in an appropriate field and appropriate licensures and certifications; and
- (b) Demonstrated ability in clinical/professional practice; and
- (c) Demonstrated ability to perform teaching duties associated with the position; and
- (d) Demonstrated willingness to assist the unit in meeting its needs for clinical/professional services.

**3.13.5.3** Minimal criteria for consideration of appointment/promotion to the rank of clinical assistant professor are:

- (a) The appropriate earned terminal degree in the field of practice from an accredited institution, unless there are exceptional circumstances, and appropriate licensures and certifications;
- (b) Demonstrated ability in clinical/professional practice; and
- (c) Demonstrated ability to perform teaching duties associated with the position;
- (d) Demonstrated willingness to contribute to research, publications, and presentations associated with the position;
- (e) Demonstrated willingness to assist the unit in meeting its needs for clinical/professional services.

**3.13.5.4** Minimal criteria for consideration of appointment/promotion to the rank of clinical associate professor are:

- (a) The appropriate earned terminal degree in the field of practice from an accredited institution, unless there are exceptional circumstances; and appropriate licensures and certifications; and at least seven years of appropriate professional experience; and
- (b) Recognized skill in clinical/professional practice; and

- (c) Recognized skill in teaching associated with the position; and
- (d) Recognized accomplishment in research, publications, and presentations associated with the position; and
- (e) Recognized accomplishment in assisting the unit in meeting its needs for clinical/professional services.

**3.13.5.5** Minimal criteria for consideration of appointment/promotion to the rank of clinical professor are:

- (a) The appropriate earned terminal degree in the field of practice from an accredited institution, unless there are exceptional circumstances; and appropriate licensures and certifications; and at least twelve years of appropriate professional experience; and
- (b) Outstanding skill and accomplishments in clinical/professional practice; and
- (c) Evidence of at least one of the following:
  - (i) recognized skill in teaching associated with the position and exceptional accomplishment in research, publications, and presentations associated with the position; or
  - (ii) exceptional accomplishment in teaching associated with the position and recognized accomplishment in research, publications, and presentations associated with the position; and
- (d) Recognized accomplishment in assisting the unit in meeting its needs for clinical/professional services.

### **3.13.6 Research Faculty**

**3.13.6.1** The primary responsibility of research faculty is research, but they may be involved in teaching and service. Research faculty have the opportunity to advance in rank based on a combination of length of service and meritorious performance. However, advancement in rank is not required for reappointment. Such appointments are eligible for benefits as allowed by the State of North Carolina. Appointments of special faculty members shall be recommended by search committees or DPCs as determined by the departmental faculty. Recommendations for promotions for special faculty members shall be the responsibility of DPCs.

**3.13.6.2** Minimal criteria for consideration of appointment to the rank of research assistant professor are:

- (a) The appropriate earned terminal degree from an accredited institution or outstanding research training, credentials, and accomplishments earned in a non- university environment;
- b) Research accomplishments comparable to those of tenure-track faculty at the same rank that have comparable experience;
- (c) Potential to obtain external funding;
- (d) Demonstrated potential to contribute to research, publications, and presentations associated with the position;
- (e) Demonstrated potential to assist the unit in accomplishing its research agenda.

**3.13.6.3** Minimal criteria for consideration of appointment/promotion to the rank of research associate professor are:

- (a) The appropriate earned terminal degree from an accredited institution or outstanding research training, credentials, and accomplishments earned in a non- university environment; and at least five years appropriate experience;
- (b) Research accomplishments comparable to those of tenured faculty at the same rank;

- (c) Demonstrated success at obtaining external funding;
- (d) Demonstrated contributions to the unit's research agenda.

**3.13.6.4** Minimal criteria for consideration of appointment/promotion to the rank of research professor are:

- (a) The appropriate earned terminal degree from an accredited institution or outstanding research training, credentials, and accomplishments earned in a non- university environment; and at least ten years appropriate experience;
- (b) Research accomplishments comparable to those of tenured faculty at the same rank;
- (c) Outstanding success at obtaining external funding; and
- (d) Extensive contributions to research, publications, and presentations associated with the position;
- (e) Sustained and increasingly significant contributions to the unit's research agenda.

**3.13.7** Special faculty members who are paid shall be appointed for a specified term of service, as set out in writing in the letter of appointment. Appointments may be for a fixed term of one, two, three, four, or five years. The term of appointment of any paid special faculty member concludes at the end of the specified period set forth in the letter of appointment, and the letter of appointment constitutes full and timely notice that a new term will not be automatically granted or guaranteed when that term expires. This institution shall not be obliged to give any notice before a current term expires as to whether appointment will be offered for a new term.

**3.13.8** Special faculty members who are not paid may be appointed for a specified term of service or at will. Their pay and appointment status should be set out in the letter of appointment.

**3.13.9** During the term of their employment, special faculty members are entitled to seek recourse under Section 607 of the University Code and Section 4.11.3 of this *Faculty Handbook* (relating to faculty grievances).

**3.13.10** Special faculty members, whether paid or unpaid, are not covered by Section 604 of the University Code (relating to appointment, non-reappointment, and requirements of notice and review for tenure track faculty), and that section does not accord them rights to additional review of a decision by a constituent institution not to grant a new appointment at the end of a specified fixed term.

### **3.14 Part-Time Faculty**

**3.14.1** See *The University of North Carolina Policy Manual*, section 400.3.1.1 concerning required discussions relating to the primacy of teaching.

#### **3.14.2 Definition and Titles**

**3.14.2.1** A *part-time faculty member* is defined as a person with a faculty appointment and whose workload is less than twelve (12) semester credit hours or the equivalent per semester.

3.14.2.2 See section 3.13, especially sections 3.13.2 and 3.13.3 for definitions and titles applicable to special faculty, a category which includes part-time faculty.

#### **3.14.3 Terms of Contracts**

**3.14.3.1** The terms and conditions of each appointment to a part-time faculty position shall be set forth in a written contract. A copy of the contract, including rank, salary (when possible), and contract date, signed by the Chancellor or the Chancellor's designee, shall be delivered to the faculty member. Contracts for part-time faculty are for fixed terms and may range from one semester to five years. Any special terms and conditions shall be clearly stated in the contract. The chair or dean who recommends the appointment shall be responsible for initiating the inclusions of special terms and conditions in contracts.

**3.14.3.2** Initial appointments may be for a fixed term of up to three years. Subsequent appointments to fixed terms of from one to five years' duration may be made either in direct succession or at intervals. Each shall be considered an initial appointment. This institution shall not be obliged to give any notice before a current term expires as to whether appointment will be offered for a succeeding term (see section 3.13.7).

**3.14.3.3** Part-time faculty will share with full-time faculty all rights guaranteed under the concept of academic freedom and all responsibilities as defined in section 3.3, entitled "Academic Freedom and Responsibility of Faculty."

**3.14.3.4** During the period of their employment, part-time faculty shall have full access to benefits of the dispute resolution processes outlined in section 4.11 of this *Faculty Handbook*.

### **Departmental Personnel Committees (DPCs) and Creation of Departmental Promotion and Tenure Committees (PTCs)**

## **IV. Selected Regulations Applicable to Academic Administration and Faculty Employment**

### **4.1 Departmental Personnel Committees, Departmental Tenure and Promotion Committees, and Search Committees**

#### **4.1.1 Regulations of Departmental Personnel Committees**

The composition, functions, and procedures of departmental personnel committees as outlined in this section of the *Faculty Handbook* are the official guidelines for these committees and must be followed in all cases. Each department shall draw up its own specific operating procedures (e.g. size of committee, length of term, etc.) for the departmental personnel committee, and these shall be in accordance with the guidelines outlined herein. The provost and executive vice chancellor shall be responsible for seeking interpretations of any relevant regulations or policies.

**[Note: The above material in 4.1.1 has been moved to 4.1.5.]**

#### **4.1.2 Composition of Departmental Personnel Committees**

**4.1.2.1** Each academic department (or other comparable academic subdivision) shall have a personnel committee consisting of at least four faculty members and the chair. When possible, the four faculty members shall consist of three tenured individuals and one non-tenured individual. In addition, when possible there shall be two alternates (one tenured and one non-tenured) who should attend all meetings and who shall, in cases of absences or recusals (see sections 4.1.4.1 through 4.1.4.4 and section 4.1.4.9), take the place of faculty members in the respective tenure categories, thus preserving the 3/1 tenured/non-tenured ratio.

**4.1.2.2** The departmental chair shall serve as the non-voting chair of the departmental personnel committee and shall preside at all meetings. The chair shall establish called meetings when two or more committee members make a written request for a meeting of the DPC. When the personnel action being considered involves the departmental chair, the DPC will elect for that action a chair from among its tenured members.

**4.1.2.3** Every department's faculty shall elect the departmental personnel committee using the procedures in *Robert's Rules of Order* as currently revised, and determine the length of terms on the DPC. In departments with an adequate number of faculty, no faculty member may serve more than three consecutive years on a DPC. Persons who hold academic rank within a department, whether or not their salaries are from state-appropriated funds, shall be eligible for the committee.

**4.1.2.4** A departmental unit may increase the size of its departmental personnel committee by adding tenured and non-tenured faculty on the basis of a 3:1 ratio (when possible), excluding the departmental chair.

**4.1.2.5** The committee shall select a recorder from its voting membership.

### **4.1.3 Functions of Departmental Personnel Committees**

**4.1.3.1** The functions of the departmental personnel committee in each department shall include, but not be limited to:

- (a) Reviewing the credentials of all applicants for new or vacant positions including special faculty appointments, interviewing selected candidates, and making a recommendation to the chair of two or more qualified persons to fill the position (except in the case of special faculty appointments or when circumstances make only one candidate acceptable), and through the chair to the dean and the Provost and Executive Vice chancellor. The personnel committee may or may not submit nominations in rank order of preference. Search committees may be established to assist or supplant the departmental personnel committee in performance of these functions (see SEARCH COMMITTEE sections 4.4). Each member of a search committee shall be subject to the same confidentiality obligations that apply to departmental personnel committees.
- (b) Reviewing all special faculty (see sections 3.13-14) and making recommendations regarding appointments. The committee shall make a recommendation to the chair, who in turn shall make a recommendation to the dean; the dean will make a recommendation to the Provost and Executive Vice Chancellor and make known to the Provost and Executive Vice Chancellor the recommendation of the chair concerning the future employment of such faculty. The recommendations described above shall be accompanied by the results of the departmental personnel committee's vote, supporting material, and all documents submitted to the committee.

### **4.1.4 Procedures of Departmental Personnel Committees**

**4.1.4.1** All meetings of departmental personnel committees shall be held on campus. Each member of an academic department must be notified in writing of all meetings and agenda items of the departmental personnel committee. The announcement should clearly state the time and place of the meeting and it should become a part of the DPC's permanent records. All department members who so desire may present their views before the committee in regard to any item(s) on the agenda.

**4.1.4.2** In all cases involving a vote on personnel decisions, the full voting membership of the departmental personnel committee must be present. Alternates should attend all meetings and vote in the absences of regular members.

**4.1.4.3** No abstention votes shall be allowed in DPC personnel decisions. Instead, if a voting member of the DPC wishes to be recused relative to any of the personnel items on a meeting's agenda, that person must provide the departmental chair with written notification of recusal from both the discussion and the vote on that particular matter. For that one personnel decision, an alternate from the respective tenure category shall then step in for both the deliberation and the vote. This rule shall supersede the rule in *Robert's Rules of Order* relative to the right of abstention.

**4.1.4.4** When possible, the aforementioned written notification shall be submitted with sufficient promptness to allow the alternate to be notified, before the meeting, that the alternate will become a voting member for that one agenda item.

**4.1.4.5** With the exception of the written notification ruling, this no-abstention-votes regulation shall also apply to the two situations noted in section 4.1.4.9. In those situations, recusal is required.

**4.1.4.6** The minutes of the departmental personnel committee should record all persons in attendance at the DPC meeting and all members of the DPC absent from the particular meeting. A record should be kept of each personnel action considered; however, this should not include individual comments. The written record should state that the personnel committee formally considered personnel action of the particular faculty member and should state those things that were considered. The minutes should show the vote (the number of affirmative and negative votes) on each action, but not the votes of individual members of the committee.

**4.1.4.7** All minutes of departmental personnel committee action must be approved and, if necessary, modified by a majority of the assembled committee. Such action will normally take place at the next meeting of the DPC except that, following the last meeting of the committee in a given academic year, the recorder shall be responsible for gaining the approval of the minutes from the voting members of the committee.

**4.1.4.8** A permanent file of all minutes of the DPC shall be maintained in each department office. Nothing in these guidelines shall violate the confidentiality of the DPC minutes, except that any individual faculty member shall have access to those portions of the minutes of meetings in which personnel actions involving that faculty member were considered. All motions must be phrased in the affirmative.

**4.1.4.9** A member of the departmental personnel committee may not vote on any matter before the committee that concerns that member or any related person. In this case, the alternate member shall serve.

**4.1.4.10** The results of the DPC vote, supporting material, and all documents submitted to the committee, shall be forwarded with the departmental chair's recommendation to the dean and through the dean to the Provost and Executive Vice Chancellor.

[Note: Much of the material on search committees has been moved to 4.1.9, not deleted entirely from the Handbook.]

#### **4.1.5 Regulations of Departmental Promotion and Tenure Committees**

The composition, functions and procedures of departmental promotion and tenure committees as outlined in this section of the *Faculty Handbook* are the official guidelines for these committees and must be followed in all cases. The Provost and Executive Vice Chancellor shall be responsible for seeking interpretations of any relevant regulations or policies. In departments where search committees make recommendations directly to departmental chairs, no reviewing group or persons may substitute their judgment for that of a search committee on matters relating to the professional qualifications of the individual involved, i.e., the individual's ability to fulfill adequately the professional requirements of the position. In departments where search committees 1) are not utilized or 2) make recommendations to departmental promotion and tenure committees, no reviewing group or persons may substitute their judgment for that of the departmental chair and/or the departmental PTC on matters relating to the professional qualifications of the individual involved, i.e., the individual's ability to hold a certain rank in that department. However, in accordance with *The Code of The University of North Carolina*, section 602 (4), those charged with making decisions on initial appointment, reappointment, promotion and tenure shall examine and evaluate "DEMONSTRATED PROFESSIONAL COMPETENCE," i.e., the faculty member's actual performance, in addition to other criteria in making those decisions. The full text of section 602 (4) follows:

The tenure policies and regulations of each institution shall set forth the general considerations upon which appointment, reappointment, promotion, and permanent tenure are to be recommended. The institutional regulations shall provide that these considerations shall include an assessment of at least the following: the faculty member's demonstrated professional competence, the faculty member's potential or future contribution, and institutional needs and resources. Each member of a promotion and tenure committee shall be subject to the same confidentiality obligations that apply to search committees and departmental personnel committees.

#### **4.1.6 Composition of Departmental Promotion and Tenure Committees**

**4.1.6.1** Each departmental unit with tenure lines shall have one Promotion and Tenure Committee consisting of all tenured faculty members, excluding the department chair and excluding those who must recuse themselves (see section 4.1.8.8). In departments with fewer than four (4) tenured faculty members, the tenured faculty members will make nominations of tenured faculty in allied disciplines on campus and will elect from those nominated for a total of four (4) members who will serve for one year. Every election made to or by departmental Promotion and Tenure Committees shall use the procedures in *Robert's Rules of Order* as currently revised.

**4.1.6.2** The departmental chair shall schedule all departmental PTC meetings. While the chair shall be responsible for knowing and sharing both information about procedural matters and information requested by the committee, the chair's role in the committee's deliberations and decision shall be minimal. The departmental chair shall not vote on the PTC.

**4.1.6.3** At its first meeting, the PTC will elect a committee chair from among its members. The committee chair's responsibilities include: compiling the votes of the committee members, and forwarding the votes and the vote justification letters to both the departmental chair and dean.

#### **4.1.7 Functions of Departmental Promotion and Tenure Committees**

**4.1.7.1** Departmental promotion and tenure committees (PTCs) make recommendations regarding contract renewal for tenure track faculty, Emeritus status (see section 3.12), the granting of permanent tenure, and promotion to tenure track or tenured ranks, either when a request for tenure is made by a faculty member, or at the automatic intervals specified in section 3.8 (inclusive) of the *Faculty Handbook*. The committee shall make a recommendation to the departmental chair, who in turn shall make a recommendation to the dean, who will send to Provost and Executive Vice Chancellor both her/his own recommendation and that of the committee and the department chair concerning the advisability of conferring promotion and/or tenure.

#### **4.1.8 Procedures of Departmental Promotion and Tenure Committees**

**4.1.8.1** The tenure policies and regulations of each institution shall set forth the general considerations upon which appointment, reappointment, promotion, permanent tenure, and Emeritus status are to be recommended. The institutional regulations shall provide that these considerations shall include an assessment of at least the following: the faculty member's demonstrated professional competence, the faculty member's demonstrated past performance and the potential for future contribution, and institutional needs and resources.

**4.1.8.2** All meetings of promotion and tenure committees shall be held on campus. Each member of an academic department must be notified in writing of all meetings and agenda items of the PTC. The announcement should clearly state the time and place of the meeting and it should become a part of the PTC's permanent records. All tenure-track faculty members who so desire, except for those who must recuse themselves (see section 4.1.8.8), may present their views before the committee in regard to any item(s) on the agenda.

**4.1.8.3** Face-to-face deliberations among the departmental PTC members are a crucial part of the faculty review of candidates being considered for reappointment, promotion, tenure, and/or Emeritus status. The justification of votes in writing should take place only after, and cannot substitute for, such face-to-face deliberation. All reasonable efforts must be made to attend meetings to discuss the candidate's case. Absentee votes and vote justification letters are, therefore, permitted only in extenuating circumstances.

**4.1.8.4** Each member of the departmental PTC shall be encouraged to complete a university-wide vote justification form citing specific evidence of why the candidate does or does not meet departmental criteria for contract renewal, promotion, and/or tenure in the areas of teaching, research, and service as per the departmental guidelines. Such vote justification letters, which may be anonymous, shall be submitted within three working days of the PTC meeting at which the vote is taken. These letters shall be given to the committee chair, who will then provide these to the departmental chair and the dean at the end of the aforementioned working days, and sent through the dean to the Provost and Executive Vice Chancellor.

**Note: A link to this form will be created in the Handbook.**

**4.1.8.5** The minutes of the PTC should record all persons in attendance at the PTC meeting and all members of the PTC absent from the particular meeting. A record should be kept of each personnel action considered; however, this should not include individual comments. The written record should state that the committee formally considered personnel action of the particular faculty member and should state those things that were considered. In instances of personnel

action involving promotion or tenure of a faculty member, the minutes should state specifically that the criteria for promotion as set forth in section 3.8 or that the items required to be considered in granting tenure as specified in section 3.8 were considered along with any departmental criteria for promotion and tenure as published in the department's governing documents. The minutes should show the vote (the number of affirmative and negative votes) on each action, but not the votes of individual members of the committee.

**4.1.8.6** All minutes of the PTC action must be approved and, if necessary, modified by a majority of the assembled committee. Such action will normally take place at the next meeting of PTC except that, following the last meeting of the committee in a given academic year, the committee chair shall be responsible for gaining the approval of the minutes from the voting members of the committee.

**4.1.8.7** A permanent file of all minutes of the PTC shall be maintained in each department office. Nothing in these guidelines shall violate the confidentiality of the PTC minutes, except that any individual faculty member shall have access to those portions of the minutes of meetings in which personnel actions involving that faculty member were considered. All motions must be phrased in the affirmative.

**4.1.8.8** A member of the promotion and tenure committee may not address the PTC or cast a vote on any matter before the committee that concerns any related person. Any candidate up for promotion is automatically recused from serving on any promotion and tenure committee on the campus in that same academic year.

**4.1.8.9** The candidate's file will remain in the main departmental office (or its electronic equivalent) and all tenured faculty members in that department will have access to review these materials.

**4.1.8.10** The results of the PTC vote, written vote justification statements, the candidate's supporting material, and all related documents submitted to the committee chair, shall be forwarded to the departmental chair who will include these materials along with her or his own recommendation to the dean, and through the dean to the Provost and Executive Vice Chancellor.

**4.1.8.11** The departmental chair shall notify the faculty member of the results of a departmental PTC vote on reappointment, emeritus status, tenure, or promotion within three working days following the date of the PTC vote, except under extenuating circumstances. Notification to the faculty member of the chair's recommendation to the dean on promotion, tenure, reappointment, or emeritus status should be made in a timely manner as defined by the college or school, not to exceed five working days, except under extenuating circumstances.

#### **4.1.9 Search Committees**

**4.1.9.1** Search committees that recommend to the departmental chair are established by the department or by the departmental chair with departmental approval. Search committees that recommend to the DPC are established by the DPC, with departmental approval. In departments where search committees make recommendations directly to departmental chairs, no reviewing group or persons may substitute their judgment for that of a search committee on matters relating to the professional qualifications of the individual involved, i.e., the individual's ability to fulfill adequately the professional requirements of the position. In cases where search committees make recommendations to hire a candidate for a position whose rank along the tenure track must be confirmed by a specific departmental unit, the departmental Promotion and Tenure Committee

shall determine whether or not the candidate is eligible to hold the recommended rank. If this is a joint appointment, at this time the "base" departmental unit of the faculty member must be determined (see section 3.10).

**Note: Much of 4.1.9.1 is material moved from section 4.1.1 of the existing Handbook.**

**4.1.9.2** All meetings of search committees shall be held on campus. Every member of an academic department must be notified in writing of all meetings and agenda items of the search committee. The announcement should clearly state the time and place of the meeting and it should become a part of the department's permanent records. All department members who so desire may present their views before the committee.

**4.1.9.3** The minutes of the search committee should record all persons in attendance at the meeting and all members absent. A record should be kept of each personnel action considered; however, this should not include individual comments. The written record should state that the search committee formally considered the personnel action. The minutes should show the vote (the number of affirmative and negative votes) on each action, but not the votes of individual members of the committee.

**4.1.9.4** All minutes of search committee action must be approved and, if necessary, modified by a majority of the assembled committee. Such action will normally take place at the next meeting of the committee except that, following the last meeting of the committee in a given academic year, the recorder shall be responsible for gaining the approval of the minutes from the voting members of the committee.

**4.1.9.5** A permanent file of all minutes of the search committee shall be maintained in each department office. In addition, the paper ballots for each vote should be kept in sealed, labeled and dated envelopes. Nothing in these guidelines shall violate the confidentiality of the search committee minutes. All motions must be phrased in the affirmative.

## Grievance Policy

**4.11.3.9** Faculty members shall be allowed to be represented at a grievance hearing by an advisor-advocate of his or her choice as long as that person is not serving as the faculty member's attorney. If the faculty member chooses to be represented by an advisor-advocate, the respondent may likewise be represented by an advisor-advocate. The faculty member also shall be allowed to have an attorney present as an observer, and if the faculty member so elects, the respondent may likewise have an attorney present as an observer. Attorney-observers are not, however, permitted to speak, although a party may consult with her or his attorney-observer during breaks in the hearing as well as at any other stage in the process aside from the hearing. Presence at the hearing is limited to the members of the FGHC, the grievant, the respondent(s), the parties' advisor-advocates and/or attorney-observers, if any, and a designated recorder.

The hearing shall begin with a presentation by the faculty member or faculty member's advisor-advocate of evidence designed to support the faculty member's contentions. The presentation shall be limited to those matters specified in the request for a hearing on which the FGHC based its agreement to conduct the hearing or to such other matters specified in section 4.11.3.5.2. FGHC members may question all witnesses presented by any party, the grievant, and the respondent(s). At the conclusion of the hearing, the FGHC shall meet in closed session to consider the matter. The FGHC may consider only such evidence as was presented at the hearing

and need consider only the evidence offered that it considers fair and reliable. The burden is on the aggrieved faculty member to satisfy the FGHC, by a preponderance of the evidence, that her or his contention is true. After the conclusion of the hearing, the FGHC shall complete its deliberations and produce its decision within twenty (20) working days.

## Faculty Workload Policy

### 6.1 Faculty Workload

#### 6.1.1 Professional Workload

The professional workload for full-time faculty members includes teaching; scholarship and/or creative activities; and professional, university, and community service relevant to faculty expertise.

Instructional activities are crucial to the role of all members of the faculty and the primary mission of the university. The University's current Carnegie classification determines the standard for the distribution of time spent on scholarship and/or creative activities, instructional activities, and service for tenured and tenure-track faculty. However, non-tenure-track faculty members, including special faculty appointments, have specific duties that are defined under special faculty appointments (*Faculty Handbook* section 3.13) and are further specified by their academic units (department, school, program, etc.).

#### 6.1.2 Instructional Expectations

Activity directly affecting the education of students includes class preparation and student evaluation, scheduled and unscheduled office hours for individual student counseling, and meetings of committees within programs, departments, colleges, and schools of the institution that are responsible for curriculum development, syllabus preparation, and program evaluation. Instructional assignments will be arranged through consultation among faculty, unit administrators, and deans and determined by the individual faculty member's total professional workload. Within this framework, classroom teaching assignments for faculty members may vary from semester to semester and from one faculty member to another. The maximum teaching load for faculty is twelve credit hours per semester, or equivalently twelve instructional contact/load hours in formally scheduled lab, clinical or studio courses, in addition to office hours as defined in *Faculty Handbook* section 6.1.2.2. For each formal instructional credit/contact/load hour, faculty members typically spend two to three hours in preparation for teaching.

##### 6.1.2.1 Department Guidelines for Differential Workloads

All tenure-line faculty members are expected to engage in some combination of instructional activities, scholarship and/or creative activities, and service. Each department will maintain written guidelines on instructional, scholarship/creative activities, and service workload; these workload guidelines will outline any differential instructional responsibilities resulting from administrative duties, scholarship and/or creative activity, and other special assignments. Department workload guidelines will also specifically outline relevant course load equivalencies for lab, clinical or studio courses and for oversized courses. Department workload guidelines will be developed by the department's tenure-line faculty in consultation with the unit administrator and dean and be voted on by the tenure-line members of the department. The distribution of duties described in the workload guidelines may vary by academic discipline, college, program, school and departmental missions, and over time in an individual faculty member's career. Therefore,

between and within colleges and academic units, differences in teaching loads reflect the differing distribution of time to scholarly and/or creative productivity, service, administrative and other duties, as well as the differing accrediting standards and missions of the unit and college.

In determining the teaching load of an individual faculty member, unit administrators use the national standard adopted by the University—currently the Delaware Study of instructional costs and productivity. After soliciting faculty teaching preferences and prior to making final faculty assignments in accordance with department workload guidelines, the unit administrator shall apprise each unit faculty member of teaching duties and other responsibilities in addition to teaching. If changes in a faculty member's assignment become necessary, the faculty member shall be notified of such changes as soon as possible.

### **6.1.2.2 Office Hours**

Every faculty member is required to be available a minimum of 1.5 hours per week for every three (3) student credit or instructional workload hours during the regular academic year to consult with students. During the term of a summer session in which a faculty member teaches, office hours expectations are half of those during the regular academic year. Each academic unit will maintain an office hours policy that establishes standards regarding a mix among formal office hours, meetings in other locations, and electronic communications appropriate for faculty members and curricula in that department. A schedule indicating the times available for formal office hours, meetings in other locations, and electronic communications must be listed on course syllabi and provided to the departmental, program or school office at the beginning of each semester. Electronic communication addresses, URLs, and/or phone numbers must be listed on course syllabi and also provided to the faculty member's academic unit office.

### **6.1.2.3 Faculty Absences from Class**

Whenever a faculty member must cancel a class for any reason, she or he must notify the unit administrator. The faculty member must make appropriate arrangements for the missed student class time.

## **6.1.3 Research and Creative Activity Expectations**

Because faculty scholarship and/or creative activity informs teaching, faculty productivity in scholarship/creative activity is crucial for generating, understanding, and disseminating new knowledge. Thus, every member of the tenure-track and tenured faculty is expected to pursue research/creative activity in that person's area of specialization. Such scholarly and/or creative activity may be specifically relevant to instruction, it may add generally to the body of knowledge and understanding in a particular field, or it may have direct practical applications, as in business, industry, government, primary and secondary education, public health, and national defense (see section 3.8 for criteria for tenure-eligible ranks).

### **6.1.3.1 Expectations for Pre-tenure Scholarship/Creative Activity**

Prior to tenure, all tenure-line faculty are expected to engage in all three professional activities (instructional activities, scholarship/creative activity and service). All three professional activities are necessary in order for a tenure-line faculty member to achieve tenure and promotion to associate professor, as defined in *Faculty Handbook* section 3.8.6. Department workload guidelines for pre-tenure, tenure-line faculty therefore will reflect college minimum requirements for the production of scholarship/creative activity (see *Faculty Handbook* section

6.1.2.1 on developing department workload guidelines).

### **6.1.3.2 Workload Adjustments for Scholarship/Creative Activity After Tenure is Attained**

Post tenure, and over the course of a long career, faculty involvement with scholarship/creative activities may substantially increase, resulting in decreased instructional responsibilities (within the limits of departmental need); or, faculty involvement with research may decrease and be less than the college minimum, resulting in increased instructional load. Department workload guidelines should clearly outline the parameters for such differential workloads. Workload guidelines should also provide a mechanism by which tenured faculty who have previously arranged for decreased scholarly/creative responsibilities can return to a level of instructional responsibility that accommodates the department standard for scholarly/creative production. Any change in instructional workload due to increased or decreased scholarship/creative responsibilities should be discussed between the unit administrator and faculty member and put in writing in the faculty's annual review.

### **6.1.4 Summer Teaching**

The summer session, consisting of two summer terms, provides coursework equivalent to that of the academic year. Faculty should submit requests for summer teaching to the unit administrator in writing, but no faculty member can be guaranteed a teaching assignment in the summer session; tentative appointments are made pending enrollment statistics.

### **6.1.5 Unit Administrator Workload**

The professional workload for academic unit administrators, as faculty members, includes: instructional activities; scholarship and/or creative activity; and professional, university, and relevant community service. The distribution of time to scholarly and/or creative productivity, service, administrative and other duties, will be determined by the dean to whom the unit administrator reports considering accrediting standards as well as the scope and mission of the unit and college.

**[Note: the old sections 6.2-4 will be deleted, because the issues they covered are contained now within the new 6.1]**