

***Faculty Handbook
Revisions for 2023-24***

Prepared for Interim Provost
Neva J. Specht, Ph.D. by
Jamie Parson, Acting Senior Vice Provost
Lauren Davis, University Program Specialist

July 18, 2024

Table of Contents

Table of Contents.....2

Faculty Handbook Revision Summary.....3

(Workload Policy Update – UNC System Policy Manual 400.3.4)

Item 1: Section 2.6 Faculty Professional Workload.....4

Item 2: Section 2.7 Department Chair and Program Director Workload.....4

Item 3: Section 2.8 Differential Teaching Loads.....4

Item 4: Section 2.9 Faculty Workload Assignments/Expectations.....4

Item 5: Section 2.9.1 Teaching.....5

Item 6: Section 2.9.2 Research and Creative Activities.....5

Item 7: Section 2.9.3 Service.....5

Item 8: Section 2.10 Faculty Annual Workload Plan.....5

Item 9: Section 2.10.1 Workload Plan Requirements.....6

Item 10: Section 2.10.2 Workload Plan Mid-Cycle Revisions.....6

Item 11: Section 2.10.3 Faculty Success Plan.....6

Item 12: Section 2.11 Faculty Role in Curriculum Development.....6

Item 13: Section 2.12 Additional Obligations of Faculty.....6

(Teaching Effectiveness Update – UNC System Policy Manual 400.3.1)

Item 14: Section 3.5 Distinguished Professorship.....11

Item 15: Section 3.6 Faculty Teaching Effectiveness.....11

Item 16: Section 3.6.1 Training to Enhance Student Success.....11

Item 17: Section 3.6.2 Student Reviews of Faculty Instruction.....11

Item 18: Section 3.6.3 Peer Observation of Faculty Teaching.....11

Item 19: Section 4.9 Special Faculty Teaching Effectiveness.....15

(Post-Tenure Review Update – UNC System Policy Manual 400.3.3)

Item 20: Section 3.11 Performance Review of Tenured Faculty (Post-Tenure Review).....19

Item 21: Section 3.11.1 Post-Tenure Review Training.....20

Item 22: Section 3.11.2 Beginning PTR.....20

Item 23: Section 3.11.3 Departmental Post-Tenure Review Evaluation Committee.....20

Item 24: Section 3.11.4 Faculty Member’s Self-Assessment.....21

Item 25: Section 3.11.5 Post-Tenure Evaluation Committee.....21

Item 26: Section 3.11.6 Chair Evaluation/Recommendation.....21

Item 27: Section 3.11.7 Faculty Member’s Right to Respond to PTR Evaluation Committee or
Chair Evaluation.....21

Item 28: Section 3.11.8 Dean Evaluation/Recommendation.....22

Item 29: Section 3.11.8.1 Support of Plan.....23

Item 30: Section 3.11.8.2 Faculty Success Plan and Workload.....23

Item 31: Section Provost Evaluation/Recommendation.....23

Item 32: Section Annual Reporting.....24

Black = Existing Handbook Language
Red = Proposed new Handbook language

***Faculty Handbook
Revisions for 2023-24***

The following recommended Faculty Handbook revisions are the result of actions by the UNC System Policy Updates and approvals by the Provost during the academic year 2023-2024.

Items 1-13: Workload Policy Updates – UNC System Policy Manual 400.3.4

Items 14-19: Teaching Effectiveness Updates – UNC System Policy Manual 400.3.1

Items 20-32: Post-Tenure Review Update – UNC System Policy Manual 400.3.3

- G. Maintain all licenses and certifications required for their positions, participate in education and training as necessary to maintain professional competence in their discipline.
- H. Complete all required university mandated training as appropriate for their job duties, and in a timely manner.
- I. Disclose all conflicts of personal, professional and financial interest, as required by University policy, in a timely manner.
- J. Use University facilities, equipment, supplies and resources (including telecommunications and information technology resources) responsibly and for legitimate University business.

Faculty are expected to adhere to these professional expectations. Violations of policies in this *Faculty Handbook*, the *Appalachian State University Policy Manual*, *The Code & The UNC Policy Manual*, or state and federal law, related to these expectations, may result in disciplinary action.

2.5 Professional Integrity. Integrity is essential to the search for knowledge. All faculty must guard the truth, uphold the highest standards in the educational process as well as in their research and scholarship. Faculty must practice intellectual honesty at all times and protect the public trust that the academic environment has long held. Faculty must never plagiarize, fabricate or falsify information or knowingly misrepresent information or its source. Faculty must never engage in any communication that is false, misrepresented or dishonest.

2.5.1 Violations of Professional Integrity. The following shall constitute a violation of professional integrity that may result in disciplinary action, up to and including termination in accordance with Chapter 9 of this *Faculty Handbook*.

- a. willful falsification of credentials or other information significantly related to job qualifications or responsibilities;
- b. willful nondisclosure of information significantly related to job qualifications or responsibilities; and
- c. other violations of professional ethical standards sufficiently related to a faculty member's academic responsibilities so as to disqualify the individual from effective performance of University duties or sufficiently serious as to adversely reflect on the individual's honesty, trustworthiness or fitness to be a faculty member.

2.6 Faculty Professional Workload. The professional workload for faculty members shall include teaching, research/creative activity and service to the department/program, college, University and/or the community. Teaching and instruction are the primary mission of the University and therefore teaching shall serve as the first component of determining faculty workload expectations. In accordance with *UNC Policy Manual, Policy 400.3.4*, the standard teaching load for all full-time faculty members shall be 24 credit hours (or equivalent contact hours) per academic year, along with routinely expected faculty duties such as advising, committee work, and professional development. ~~Faculty members holding additional responsibilities for research/creative activities and service as identified in their annual work plans may have their teaching workload adjusted on a commensurate basis. Any exceptions from the standard teaching workload must be approved by the Provost and Executive Vice Chancellor and be included in the faculty member's employment contract. Additional workload policy and procedures are set forth in the AASOP.~~

2.6.7 Department Chair and Program Director Workload. The workload of Department Chairs, and Program Directors will be set by the Dean or the Dean's designee. In the case of Deans and other administrative faculty, workload will be set by the Provost or the Provost's designee.

2.6.1 Differential Teaching Loads. Differential teaching loads may be approved in recognition of differing individual circumstances including student success considerations, course level (bachelors, masters, doctoral) course pedagogies, programmatic accreditation requirements, team-taught courses, research productivity, time bought out by external grants, significant administrative or service assignments, significant advising

responsibilities, or other activities aligned with the University's mission and/or critical to student success.

2.9 Faculty Workload Assignments/Expectations. As teaching and instruction are the central responsibility and critical base of the UNC System, teaching shall serve as the first component when determining faculty workload

assignments. A 1.0 FTE workload during the academic year (traditional 9-month period of faculty employment) is defined as (1) a teaching load of 24 credit hours or equivalent contact hours per academic year, which accounts for 80% of the annual workload; and (2) other faculty assignments representing 20% of the annual workload that further the mission of the academic unit and institution, such as committee work and other forms of service. This policy and the System Policy allow for flexibility and individual planning for workload and field conventions, such as that tenure-track faculty are generally expected to carry out research, scholarship, and/or creative activities as part of their workload and therefore faculty with research expectations and outcomes typically teach less than 24 credit hours per academic year. The workload for an appointment of less than 1.0 FTE shall modify the above definition of workload in a manner that is proportional to the FTE. A typical 3-credit hour (or equivalent contact hours) organized class is equivalent to 10% of the annual workload. However, upon approval of the Dean, a differentiated workload may be assigned. This framework does not necessarily equate to a 4/4 teaching workload for all faculty members (i.e., 4 course assignments in the Fall semester and 4 in the Spring semester). Instead, workload shall be measured through percentages, with percentages assigned to each category of faculty workload. These categories should align with how a faculty member is evaluated during annual reviews and in future opportunities for promotion. Faculty are expected to engage in collaborative discussion with the department chair about the workload needs of the department, school, or program. These department chairs hold responsibility and authority for the issuance of faculty workload assignments, subject to review and approval by the Dean.

2.9.1 Teaching. Consistent with N.C.G.S. 116-1(b), teaching and instruction are the central responsibilities of the UNC System and form a critical base of workload expectations for faculty. In addition to organized courses, the faculty member's instructional workload also includes but is not limited to, other instructional efforts such as developing materials for a new course, updating materials for an existing course, weekly course preparation activities, developing courseware or other materials for technology-based instruction, supervising undergraduate research and masters' theses and doctoral dissertations, directing students in co-curricular activities such as plays, preparing and equipping new laboratories, supervision of teaching assistants, supervision of internships, academic advising, mentoring, and other activities that support student success.

2.9.2 Research and Creative Activities. Faculty members engage in the work of discovering, disseminating, and applying knowledge and professional expertise. These activities may include (but are not limited to) working in laboratories, studios, clinical or community settings conducting empirical and/or theoretical research, engaging in development or translational work, and/or producing creative works. Toward that end, faculty write articles, books, monographs, and grant proposals, write patents, develop intellectual property, edit scholarly journals, prepare juried art exhibits, direct centers and institutes, or perform in plays, concerts, or musical recitals. These research/creative activities have significant implications for teaching. They enable faculty members to design course materials that reflect their respective fields' state-of-the-art and cutting-edge knowledge.

2.6.2 Service. As a public university, Appalachian State provides substantial benefits to the people and the State of North Carolina. Faculty members engage in service activities that advance the institution's work and the institution's role in supporting North Carolina. Faculty service work may include activities that enhance the scholarly life of the university or the discipline, improve the quality of life of society, or promote the general welfare of the institution, professional and academic societies, the state, the nation, the local community, or the global community. Faculty members may also be assigned administrative responsibilities, including but not limited to, Department Chair, program director, and center director.

2.9.3

2.6.32.10 Faculty Workload Assignments/Annual Workload Plan. Each faculty member shall work with their department chair or dean to develop a work plan for the upcoming academic year, in alignment with the University's workload expectations and the needs of the academic department, program, college/school, or University. In accordance with *UNC Policy Manual, Policy 400.3.4*, all workplans shall including expectations for teaching, research/creative activity and service via percentage time allocations that equal the faculty member's

~~FTE status. If changes in a faculty member's instructional assignment become necessary, the faculty member shall be notified of such changes as soon as possible. All employees whose primary job classification is as a faculty member with an appointment at 0.75 FTE or more, regardless of contract length and including faculty members who also hold administrative roles, must have a workload plan. Faculty members who are employed on less than a nine-month annual basis or are less than ¾-time may have a workload plan if directed by their academic unit. Workload plans should be designed with the missions of the university and the faculty member's academic unit and department/school/program in mind, and with student success and fiscal considerations.~~

2.10.1 Workload Plan Requirements. ~~The workload plan shall include a faculty member's percentage time allocations of work effort by category (teaching, research, and service) and specify outcomes a faculty member is expected to achieve during the plan period. Furthermore, these outcomes must be aligned with the faculty member's annual reviews and demonstrate a clear link to all relevant expectations for reappointment, promotion, tenure, and/or post-tenure review, as appropriate.~~

2.10.2 Workload Plan Mid-Cycle Revisions. ~~During the academic year, a significant circumstance may arise that justifies modifications to a faculty member's workload plan. Criteria for workload modification in such circumstances may be determined at the unit level. Such workload changes will be made in cases only where the newly arising circumstance represents a new component of the faculty member's assignment that is approved by the department chair. When a significant circumstance occurs and justifies revision of the work plan, as described above, the plan and statement of expected outcomes should be revised at that time, with all changes subject to approval of the Department Chair and the Dean, and the circumstances shall be acknowledged by the department chair in the affected faculty member's annual review.~~

2.10.3 Faculty Success Plan. ~~A faculty member who does not adequately satisfy their workload plan expectations for the review period shall be subject to a faculty success plan. The plan must include specific steps designed to lead to improvement, targeted resources the faculty member can use to help them improve, a specified timeline in which improvement is expected to occur, and clear statement to consequences should improvement not occur within the designated timeline. These plans must be approved by the Department Chair and Dean. Consequences for failure to make improvement within the designated timeframe may include disciplinary action including but not limited to demotion or formal discharge for "sustained unsatisfactory performance" in accordance with Chapter VI, Section 603 of The Code~~

2.72.11 Faculty Role in Curriculum Development. The basic and most important unit in determining curricula is the academic department. To accomplish curricular work, each department/academic unit and college/school shall have a curriculum committee charged with carefully considering additions, deletions, and changes to courses, programs, policies, or structures within or affecting the academic unit.

2.82.12 Additional Obligations of Faculty. In addition to the responsibilities above, faculty as employees of Appalachian State University also have obligations to the University. Those obligations are contained in the Appalachian State University Policy Manual. They include, but are not limited to, the following:

- A. **Research Misconduct:** To engage in research, scholarship and creative endeavors with integrity and to comply with the University's Research Misconduct Policy in regard to any allegations of misconduct;
- B. **Grading:** To ensure all final grades are reported to the Registrar by the deadline set by the University each

- G. Maintain all licenses and certifications required for their positions, participate in education and training as necessary to maintain professional competence in their discipline.
- H. Complete all required university-mandated training as appropriate for their job duties, and in a timely manner.
- I. Disclose all conflicts of personal, professional, and financial interest, as required by University policy, in a timely manner.
- J. Use University facilities, equipment, supplies and resources (including telecommunications and information technology resources) responsibly and for legitimate University business.

Faculty are expected to adhere to these professional expectations. Violations of policies in this *Faculty Handbook*, the *Appalachian State University Policy Manual*, *The Code & The UNC Policy Manual*, or state and federal law, related to these expectations, may result in disciplinary action.

2.5 Professional Integrity. Integrity is essential to the search for knowledge. All faculty must guard the truth, uphold the highest standards in the educational process as well as in their research and scholarship. Faculty must practice intellectual honesty at all times and protect the public trust that the academic environment has long held. Faculty must never plagiarize, fabricate or falsify information or knowingly misrepresent information or its source. Faculty must never engage in any communication that is false, misrepresented or dishonest.

2.5.1 Violations of Professional Integrity. The following shall constitute a violation of professional integrity that may result in disciplinary action, up to and including termination in accordance with Chapter 9 of this *Faculty Handbook*.

- a. willful falsification of credentials or other information significantly related to job qualifications or responsibilities;
- b. willful nondisclosure of information significantly related to job qualifications or responsibilities; and
- c. other violations of professional ethical standards sufficiently related to a faculty member's academic responsibilities so as to disqualify the individual from effective performance of University duties or sufficiently serious as to adversely reflect on the individual's honesty, trustworthiness or fitness to be a faculty member.

2.6 Faculty Professional Workload. The professional workload for faculty members shall include teaching, research/creative activity and service to the department/program, college, University and/or the community. Teaching and instruction are the primary mission of the University and therefore teaching shall serve as the first component of determining faculty workload expectations. In accordance with *UNC Policy Manual, Policy 400.3.4*, the standard teaching load for all full-time faculty members shall be 24 credit hours (or equivalent contact hours) per academic year, along with routinely expected faculty duties such as advising, committee work, and professional development

2.7 Department Chair and Program Director Workload. The workload of Department Chairs, and Program Directors will be set by the Dean or the Dean's designee. In the case of Deans and other administrative faculty, workload will be set by the Provost or the Provost's designee.

2.8 Differential Teaching Loads. Differential teaching loads may be approved in recognition of differing individual circumstances including student success considerations, course-level (bachelors, masters, doctoral) course pedagogies, programmatic accreditation requirements, team-taught courses, research productivity, time bought out by external grants, significant administrative or service assignments, significant advising responsibilities, or other activities aligned with the University's mission and/or critical to student success.

2.9 Faculty Workload Assignments/Expectations. As teaching and instruction are the central responsibility and critical base of the UNC System, teaching shall serve as the first component when determining faculty workload assignments. A 1.0 FTE workload during the academic year (traditional 9-month period of faculty employment) is defined as (1) a teaching load of 24 credit hours or equivalent contact hours per academic year, which accounts for 80% of the annual workload; and (2) other faculty assignments representing 20% of the annual workload that further the mission of the academic unit and institution, such as committee work and other forms of service. This policy and

the System Policy allow for flexibility and individual planning for workload and field conventions, such as that tenure-track faculty are generally expected to carry out research, scholarship, and/or creative activities as part of their workload and therefore faculty with research expectations and outcomes typically teach less than 24 credit hours per academic year. The workload for an appointment of less than 1.0 FTE shall modify the above definition of workload in a manner that is proportional to the FTE. A typical 3-credit hour (or equivalent contact hours) organized class is equivalent to 10% of the annual workload. However, upon approval of the Dean, a differentiated workload may be assigned. This framework does not necessarily equate to a 4/4 teaching workload for all faculty members (i.e., 4 course assignments in the Fall semester and 4 in the Spring semester). Instead, workload shall be measured through percentages, with percentages assigned to each category of faculty workload. These categories should align with how a faculty member is evaluated during annual reviews and in future opportunities for promotion. Faculty are expected to engage in collaborative discussion with the department chair about the workload needs of the department, school, or program. These department chairs hold responsibility and authority for the issuance of faculty workload assignments, subject to review and approval by the Dean.

2.9.1 Teaching. Consistent with N.C.G.S. 116-1(b), teaching and instruction are the central responsibilities of the UNC System and form a critical base of workload expectations for faculty. In addition to organized courses, the faculty member's instructional workload also includes but is not limited to, other instructional efforts such as developing materials for a new course, updating materials for an existing course, weekly course preparation activities, developing courseware or other materials for technology-based instruction, supervising undergraduate research and masters' theses and doctoral dissertations, directing students in co-curricular activities such as plays, preparing and equipping new laboratories, supervision of teaching assistants, supervision of internships, academic advising, mentoring, and other activities that support student success.

2.9.2 Research and Creative Activities. Faculty members engage in the work of discovering, disseminating, and applying knowledge and professional expertise. These activities may include (but are not limited to) working in laboratories, studios, clinical or community settings conducting empirical and/or theoretical research, engaging in development or translational work, and/or producing creative works. Toward that end, faculty write articles, books, monographs, and grant proposals, write patents, develop intellectual property, edit scholarly journals, prepare juried art exhibits, direct centers and institutes, or perform in plays, concerts, or musical recitals. These research/creative activities have significant implications for teaching. They enable faculty members to design course materials that reflect their respective fields' state-of-the-art and cutting-edge knowledge.

2.9.3 Service. As a public university, Appalachian State provides substantial benefits to the people and the State of North Carolina. Faculty members engage in service activities that advance the institution's work and the institution's role in supporting North Carolina. Faculty service work may include activities that enhance the scholarly life of the university or the discipline, improve the quality of life of society, or promote the general welfare of the institution, professional and academic societies, the state, the nation, the local community, or the global community. Faculty members may also be assigned administrative responsibilities, including but not limited to, Department Chair, program director, and center director.

2.10 Faculty Annual Workload Plan. All employees whose primary job classification is as a faculty member with an appointment at 0.75 FTE or more, regardless of contract length and including faculty members who also hold administrative roles, must have a workload plan. Faculty members who are employed on less than a nine-month annual basis or are less than $\frac{3}{4}$ -time may have a workload plan if directed by their academic unit. Workload plans should be designed with the missions of the university and the faculty member's academic unit and department/school/program in mind, and with student success and fiscal considerations.

2.10.1 Workload Plan Requirements. The workload plan shall include a faculty member's percentage time allocations of work effort by category (teaching, research, and service) and specify outcomes a faculty member is expected to achieve during the plan period. Furthermore, these outcomes must be aligned with the faculty member's annual reviews and demonstrate a clear link to all relevant expectations for reappointment, promotion, tenure, and/or post-tenure review, as appropriate.

2.10.2 Workload Plan Mid-Cycle Revisions. During the academic year, a significant circumstance may arise that justifies modifications to a faculty member's workload plan. Criteria for workload modification in such circumstances may be determined at the unit level. Such workload changes will be made in cases only where the newly arising circumstance represents a new component of the faculty member's assignment that is approved by the department chair. When a significant circumstance occurs and justifies revision of the work plan, as described above, the plan and statement of expected outcomes should be revised at that time, with all changes subject to approval of the Department Chair and the Dean, and the circumstances shall be acknowledged by the department chair in the affected faculty member's annual review.

2.10.3 Faculty Success Plan. A faculty member who does not adequately satisfy their workload plan expectations for the review period shall be subject to a faculty success plan. The plan must include specific steps designed to lead to improvement, targeted resources the faculty member can use to help them improve, a specified timeline in which improvement is expected to occur, and clear statement to consequences should improvement not occur within the designated timeline. These plans must be approved by the Department Chair and Dean. Consequences for failure to make improvement within the designated timeframe may include disciplinary action including but not limited to demotion or formal discharge for "sustained unsatisfactory performance" in accordance with *Chapter VI, Section 603 of The Code*.

2.11 Faculty Role in Curriculum Development. The basic and most important unit in determining curricula is the academic department. To accomplish curricular work, each department/academic unit and college/school shall have a curriculum committee charged with carefully considering additions, deletions, and changes to courses, programs, policies, or structures within or affecting the academic unit.

2.12 Additional Obligations of Faculty. In addition to the responsibilities above, faculty as employees of Appalachian State University also have obligations to the University. Those obligations are contained in the Appalachian State University Policy Manual. They include, but are not limited to, the following:

- A. **Research Misconduct:** To engage in research, scholarship and creative endeavors with integrity and to comply with the University's Research Misconduct Policy in regard to any allegations of misconduct;
- B. **Grading:** To ensure all final grades are reported to the Registrar by the deadline set by the University each semester;
- C. **Intellectual Property:** To disclose any intellectual property that may be created by the faculty member in the scope of their employment including research to the Intellectual Property Council in accordance with the University's IP Transfer Policy;
- D. **Mandatory Reporter/Responsible Employee Title IX:** To fulfill the role as a Mandatory Title IX Responsible Employee. Faculty members must be trained annually and report any occurrence of prohibited conduct under University Policies on Discrimination, Harassment, Title IX and Sex-Based Misconduct;
- E. **Anti-Nepotism.** To not engage in the supervision of an individual that is either related to the faculty member or is in a personal or amorous relationship with the faculty member in violation of *UNC Policy Manual, Policy 300.4.2 and 300.4.2[G]*. When appropriate, Department Chairs who have spouses or partners in the department they oversee shall be required to have a COI management plan in place to ensure their spouse reports to another administrator to ensure compliance with these policies.
- F. **Improper Relationships:** To not engage in an amorous relationship with an enrolled student(s) in violation of the University's Policy on Improper Relationships between Students and Employees.
- G. **Signature Authority:** To comply with the University's Delegation of Signature Authority Policy and to not sign any contractual documents on behalf of the University, including click-through software agreements, unless the faculty member has received prior written delegation of signature authority from the University;
- H. **IT Software or Hardware Acquisition:** To follow the University's IT Acquisition process through the University's ITS department prior to the use or purchase of any software or hardware;

- I. **Conflict of Interest or Commitment:** To not engage in activities that would result in a conflict of interest or conflict of commitment in violation of the University's Conflict of Interest and Commitment Policy;
- J. **Outside Work:** To only engage in outside work or professional activities for pay when approved in accordance with the University's External Professional Activities for Pay Policy;
- K. **Political Activities/Office Holding:** To comply with all University and UNC System policies regarding engaging in political activities and candidacy for or holding a public office;
- L. **Duty to Cooperate:** To fully cooperate in any investigation or other administrative process whether the faculty member is the respondent or just a witness, at the request of the University. Failure to cooperate with any such investigation or administrative process could result in disciplinary action and the North Carolina Attorney General's Office choosing to not indemnify or defend the faculty member under the Defense of State Employees Act.
- M. **Misuse of State Property:** To engage in the responsible use of state property and avoid at all times using any state property for personal, political or other unapproved purposes. To report the misuse of any state property or buildings to their immediate supervisor; and
- N. **Other:** To comply with all other applicable University or UNC System policies in existence or when approved.

with a copy to the Department Chair and Dean, with an effective date at the end of the term in which they intend to resign (December 31 or June 30). Upon receipt of the notice of intent to resign, the Provost and Executive Vice Chancellor or their designee shall respond in writing to the faculty member confirming the resignation and shall state the effective date of such resignation.

3.4.5 Faculty Retirement. Faculty members shall consult with the Office of Human Resources regarding retirement. All retirements shall be in accordance with Chapter 135 of the North Carolina General Statutes. Full-time tenured faculty members may also be eligible for Phased Retirement. When a faculty member retires, the faculty member relinquishes all tenure rights, and any subsequent employment shall be subject to University post-retirement policies.

3.4.6 Summer Appointments and Resignations. All tenure-track and tenured faculty members who agree to teach during the summer are paid for summer course work based on a percentage of their nine-month base salary. If a tenure-track or tenured faculty member submits their intention to resign, resigns, or is terminated from their faculty position prior to August 30 they will not be paid the percentage of their nine-month base salary, but instead will be paid at the posted adjunct salary rate in the Academic Affairs Pay Schedule for all summer work performed.

3.4.7 Abandonment of Position. Any faculty member who needs to be absent during the academic term shall notify their Department Chair and Dean in writing in advance of the proposed absence. Any faculty member who does not report for the opening day of classes in any term and continues to be absent for fourteen (14) calendar days without being excused by the Department Chair and Dean, or is absent at any point in the term for fourteen (14) consecutive days when classes are in session without being excused by the Department Chair and Dean, shall be subject to formal discharge in accordance with Chapter 9 of this *Faculty Handbook*.

3.5 Distinguished Professorships. All Distinguished Professorships must be created in accordance with the UNC System policies and applicable state law. Approval of any new Distinguished Professorships or revisions to a current Distinguished Professorship must be approved by the Board of Trustees and the President of the UNC System.

3.5-3.6

Faculty Teaching ~~Effectiveness-Effectiveness~~ Performance Indicators. Due to the primacy of teaching, all faculty members shall be subject to regular teaching performance assessment, which shall include at minimum the following: (1) peer assessment, (2) student feedback ~~reviews~~ of instruction and (3) ~~peer observations~~ self-assessment of teaching. These ways of assessing will be used, as appropriate, in annual evaluations and comprehensive reviews, including reviews for promotion and post-tenure reviews or reviews for reviews for extension of Special Faculty appointments. Both shall be conducted at regular intervals as designated below. Any other assessments must be described in the foundational documents of the College/School/Department.

3.6.1 Training to Enhance Student Success. In order to effectively use the multiple assessments of teaching to enhance pedagogy, the student learning experience, and student academic success, training shall be provided to faculty members, Department Chairs, Deans, and other staff and ~~administrators~~ administrators.

3.6.2 Student Reviews of Faculty Instruction. The University's online student reviews shall be conducted in all classes in at least one (1) semester of each academic year. Colleges/Schools and Departments may choose to review more frequently and/or employ additional methods to offer students the opportunity to provide feedback on instruction, but those methods must be outlined in the College/School or Department's foundational documents.

3.5.1-

3.5.2 3.6.3 Peer Observation of Faculty Teaching. Faculty members shall participate in peer observation of teaching in accordance with the following:

- a. During the probationary period, Tenure-Track Faculty shall participate in a minimum of one (1) peer

observation of teaching per academic year. There shall be a peer observation of a tenured faculty member a minimum of one (1) time per five (5) year period.

- b.** Departments shall adopt procedures and practices for peer observations of teaching, which shall be included in their Department's foundational documents, that shall include: (i) An orderly rotation among all faculty of the responsibility for peer observations; (ii) A uniform format for the observation; (iii) Reporting of the results to Department Chairs, with a copy provided to the faculty member being observed, within ten (10) calendar days following the observation; (iv) The right of a faculty member being observed to request an additional peer observation by a different faculty member; (v) The right of a faculty member being observed to provide a written response to any peer

Chancellor, with a copy to the Department Chair and Dean, with an effective date at the end of the term in which they intend to resign (December 31 or June 30). Upon receipt of the notice of intent to resign, the Provost and Executive Vice Chancellor or their designee shall respond in writing to the faculty member confirming the resignation and shall state the effective date of such resignation.

3.4.5 Faculty Retirement. Faculty members shall consult with the Office of Human Resources regarding retirement. All retirements shall be in accordance with Chapter 135 of the North Carolina General Statutes. Full-time tenured faculty members may also be eligible for Phased Retirement. When a faculty member retires, the faculty member relinquishes all tenure rights, and any subsequent employment shall be subject to University post-retirement policies.

3.4.6 Summer Appointments and Resignations. All tenure-track and tenured faculty members who agree to teach during the summer are paid for summer course work based on a percentage of their nine-month base salary. If a tenure-track or tenured faculty member submits their intention to resign, resigns, or is terminated from their faculty position prior to August 30 they will not be paid the percentage of their nine-month base salary, but instead will be paid at the posted adjunct salary rate in the Academic Affairs Pay Schedule for all summer work performed.

3.4.7 Abandonment of Position. Any faculty member who needs to be absent during the academic term shall notify their Department Chair and Dean in writing in advance of the proposed absence. Any faculty member who does not report for the opening day of classes in any term and continues to be absent for fourteen (14) calendar days without being excused by the Department Chair and Dean, or is absent at any point in the term for fourteen (14) consecutive days when classes are in session without being excused by the Department Chair and Dean, shall be subject to formal discharge in accordance with Chapter 9 of this *Faculty Handbook*.

3.5 Distinguished Professorships. All Distinguished Professorships must be created in accordance with the UNC System policies and applicable state law. Approval of any new Distinguished Professorships or revisions to a current Distinguished Professorship must be approved by the Board of Trustees and the President of the UNC System.

3.6 Faculty Teaching Effectiveness. Due to the primacy of teaching, all faculty members shall be subject to regular teaching performance assessment, which shall include at minimum the following: (1) peer assessment (2) student feedback of instruction and (3) self-assessment of teaching. These ways of assessing will be used, as appropriate, in annual evaluations and comprehensive reviews, including reviews for promotion and post-tenure reviews or reviews for extension of Special Faculty appointments. Any other assessments must be described in the foundational documents of the College/School/Department.

3.6.1 Training to Enhance Student Success. In order to effectively use the multiple assessments of teaching to enhance pedagogy, the student learning experience, and student academic success, training shall be provided to faculty members, Department Chairs, Deans, and other staff and administrators.

3.6.2 Student Reviews of Faculty Instruction. The University's online student reviews shall be conducted in all classes in at least one (1) semester of each academic year. Colleges/Schools and Departments may choose to review more frequently and/or employ additional methods to offer students the opportunity to provide feedback on instruction, but those methods must be outlined in the College/School or Department's foundational documents.

3.6.3 Peer Observation of Faculty Teaching. Faculty members shall participate in peer observation of teaching in accordance with the following:

- a. During the probationary period, Tenure Track Faculty shall participate in a minimum of one (1) peer observation of teaching per academic year. There shall be a peer observation of a tenured faculty member a minimum of one (1) time per five (5) year period.
- b. Departments shall adopt procedures and practices for peer observations of teaching which shall be

included in their Department's foundational documents that shall include: (i) An orderly rotation among all faculty of the responsibility for peer observations; (ii) A uniform format for the observation; (iii) Reporting of the results to Department Chairs, with a copy provided to the faculty member being observed, within ten (10) calendar days following the observation; (iv) The right of a faculty member being observed to request an additional peer observation by a different faculty member; (v) The right of a faculty member being observed to provide a written response to any peer.

3.7 Annual Review of Tenure-Track and Tenured Faculty. Each tenure-track and tenured faculty member shall have their performance assessed annually by their respective Department Chair. For each review, the faculty member shall provide a performance self-assessment to the Department Chair. The Department Chair shall meet with each faculty member to review the work of the faculty member relative to their approved work plan including the faculty member's performance related to teaching, research/creative activity and service, the progress of the faculty member toward tenure or Post-Tenure Review (PTR) and shall develop the work plan for the upcoming academic year. A faculty member who does not adequately satisfy their workload expectations for the review period shall be subject to a Performance Improvement Plan. The plan must include specific steps designed to lead to improvement, a specified timeline in which improvement is expected to occur, and a clear statement of consequences should improvement not occur within the designated timeline. These plans must be approved by the Dean.

3.7.1 Items Not Considered in Annual Review. No items that will be considered or relied upon in an annual review may be placed in the faculty member's personnel file within seven (7) calendar days prior to the annual review, except under extenuating circumstances.

3.7.2 Presence of an Observer at the Annual Review. Faculty members have the right to request, no later than three (3) calendar days prior to their annual performance review meeting with the Department Chair, to be accompanied by an observer of their choosing. If the faculty member chooses to bring an observer, the Department Chair may also have an observer at the meeting. Observers may not participate in the discussion between the faculty member and the Department Chair and in no event may an observer be present as an attorney for either party. Due to the confidential nature of the annual performance review meeting and the fact that personnel information will be shared, all observers must sign an Observer Waiver in advance of attending the meeting. This document includes the faculty member's authorization for the observer to hear the confidential information and commits the observer to maintain the confidentiality of any information heard at the meeting.

3.8 Academic Tenure and Promotion. To promote and protect the academic freedom of its faculty, the Board of Trustees is required to adopt policies and regulations governing academic tenure. The Chancellor shall review the tenure policies periodically, but at least every five (5) years, and shall report to the UNC System President whether or not amendments or revisions are appropriate. In all instances, the tenure conferred on a faculty member is held with reference to employment at Appalachian State University, rather than employment by the UNC System. Appalachian State University's tenure policies and regulations by which decisions concerning promotion and the conferral of permanent tenure are included below.

3.8.1 Purpose of Tenure. The purposes intended to be served by providing the protection of academic tenure to faculty members are to assure the faculty member's academic freedom and to help the institution attract and retain faculty members.

3.8.2 Minimum Criteria for Tenure. The conferral of tenure requires:

- a. a doctorate or other appropriate terminal degree;
- b. an assessment of the faculty member's demonstrated professional competence;
- c. potential for future contributions;
- d. commitment to effective teaching, research;
- e. professional service to the University and the public; and
- f. the needs and resources of Appalachian State University.

with respect to their employment and shall supersede any previous written or oral representations, statements, negotiations or agreements.

- c. The term of appointment for Special Faculty members concludes at the end of the specified period set forth in the faculty employment contract and constitutes full and timely notice that a new term will not be granted when that term expires. Therefore, the University shall not be required to provide any notice before the current term expires as to whether a subsequent appointment will be offered.
- d. The continued employment of a Special Faculty member may be made expressly contingent during the contract period on items such as the continued availability of funds from any source, enrollment levels, or any other contingency established by the University. Any such contingencies shall be included in the faculty employment contract.

4.4.2 Special Faculty Appointments with Special Funding. Any Special Faculty employment contract for a position funded in whole or in substantial part from sources other than continuing state appropriated funds, shall include language specifying that the faculty member's employment shall at all times be contingent upon the availability of such special funds.

4.5 Abandonment of Position. Any special faculty member who needs to be absent during the academic term shall notify their Department Chair and Dean in writing in advance of the proposed absence. Any special faculty member who does not report for the opening day of classes in any term and continues to be absent for fourteen (14) calendar days without being excused by the Department Chair and Dean, or is absent at any point in the term for fourteen (14) consecutive days when classes are in session without being excused by the Department Chair and Dean, shall be subject to formal discharge in accordance with Chapter 9 of this *Faculty Handbook*.

4.6 Resignations of Special Faculty. Due to academic responsibilities of faculty positions, all special faculty members must provide written notice of their intention to resign their position to the Provost and Executive Vice Chancellor with an effective date at the end of the term in which they intend to resign (December 31 or June 30). Upon receipt of the notice of intent to resign, the Provost and Executive Vice Chancellor or the Provost's designee shall respond in writing to the faculty member confirming the resignation and effective date of such resignation.

4.7 Summer Resignations. Special Faculty may be paid for summer courses at the posted adjunct salary rate in the Academic Affairs Pay Schedule or, if on a continuing contract, as a percentage of their nine-month base salary. If a special faculty member submits their intention to resign, resigns, or is terminated from their special faculty position prior to August 30, they will not be paid the percentage of their nine-month base salary, but will be paid at the posted adjunct salary rate in the Academic Affairs Pay Schedule for all summer work performed.

4.8 Special Faculty Retirement. Full time special faculty who are eligible for benefits shall consult with the Office of Human Resources regarding retirement. All retirements shall be in accordance with Chapter 135 of the North Carolina General Statutes.

4.9 Special Faculty ~~Performance Indicators~~ Teaching Effectiveness. Due to the primacy of teaching, Special Faculty members with teaching responsibilities shall be subject to annual teaching performance assessment, which shall include the following: (1) ~~Student reviews of instruction conducted at regular intervals (at least one semester of each academic year) and peer assessment~~ (2) ~~student feedback and comprehensive reviews, including reviews for extension of Special Faculty appointments. Peer observations of teaching.~~ Any additional assessments shall be specified in the Department's foundational documents. Appropriate and timely feedback from evaluations shall be provided to the special faculty members each year.

4.9.1 Student Reviews of Faculty Instruction. The University's online survey shall be conducted in all classes in at least one (1) semester of each academic year. Student reviews of faculty instruction can provide insight into a number of the important dimensions of a teacher's efforts: classroom performance, advising, and informal and formal contact with students. The University online survey shall be conducted in all classes in at least one semester of every academic year. Colleges/Schools and Departments may choose to review more frequently

with respect to their employment and shall supersede any previous written or oral representations, statements, negotiations or agreements.

- c. The term of appointment for Special Faculty members concludes at the end of the specified period set forth in the faculty employment contract and constitutes full and timely notice that a new term will not be granted when that term expires. Therefore, the University shall not be required to provide any notice before the current term expires as to whether a subsequent appointment will be offered.
- d. The continued employment of a Special Faculty member may be made expressly contingent during the contract period on items such as the continued availability of funds from any source, enrollment levels, or any other contingency established by the University. Any such contingencies shall be included in the faculty employment contract.

4.4.2 Special Faculty Appointments with Special Funding. Any Special Faculty employment contract for a position funded in whole or in substantial part from sources other than continuing state appropriated funds, shall include language specifying that the faculty member's employment shall at all times be contingent upon the availability of such special funds.

4.5 Abandonment of Position. Any special faculty member who needs to be absent during the academic term shall notify their Department Chair and Dean in writing in advance of the proposed absence. Any special faculty member who does not report for the opening day of classes in any term and continues to be absent for fourteen (14) calendar days without being excused by the Department Chair and Dean, or is absent at any point in the term for fourteen (14) consecutive days when classes are in session without being excused by the Department Chair and Dean, shall be subject to formal discharge in accordance with Chapter 9 of this *Faculty Handbook*.

4.6 Resignations of Special Faculty. Due to academic responsibilities of faculty positions, all special faculty members must provide written notice of their intention to resign their position to the Provost and Executive Vice Chancellor with an effective date at the end of the term in which they intend to resign (December 31 or June 30). Upon receipt of the notice of intent to resign, the Provost and Executive Vice Chancellor or the Provost's designee shall respond in writing to the faculty member confirming the resignation and effective date of such resignation.

4.7 Summer Resignations. Special Faculty may be paid for summer courses at the posted adjunct salary rate in the Academic Affairs Pay Schedule or, if on a continuing contract, as a percentage of their nine-month base salary. If a special faculty member submits their intention to resign, resigns, or is terminated from their special faculty position prior to August 30, they will not be paid the percentage of their nine-month base salary, but will be paid at the posted adjunct salary rate in the Academic Affairs Pay Schedule for all summer work performed.

4.8 Special Faculty Retirement. Full time special faculty who are eligible for benefits shall consult with the Office of Human Resources regarding retirement. All retirements shall be in accordance with Chapter 135 of the North Carolina General Statutes.

4.9 Special Faculty Teaching Effectiveness. Due to the primacy of teaching, Special Faculty members with teaching responsibilities shall be subject to annual teaching performance assessment, which shall include the following: (1) peer assessment (2) student feedback and comprehensive reviews, including reviews for extension of Special Faculty appointments. Any additional assessments shall be specified in the Department's foundational documents. Appropriate and timely feedback from evaluations shall be provided to the special faculty members each year.

4.9.1 Student Reviews of Faculty Instruction. The University's online survey shall be conducted in all classes in at least one (1) semester of each academic year. Student reviews of faculty instruction can provide insight into a number of the important dimensions of a teacher's efforts: classroom performance, advising, and informal and formal contact with students. The University online survey shall be conducted in all classes in at least one semester of every academic year. Colleges/Schools and Departments may choose to review more frequently and/or employ additional methods to offer students the opportunity to provide feedback on instruction, but those methods must be outlined in the college/school or department's foundational documents.

4.9.2 Peer Observation of Special Faculty. Special Faculty members with teaching responsibilities as well as Teaching Assistants and graduate students in teaching roles shall participate in peer observation of teaching in accordance with the following:

- a. In the first three (3) years of continuous service, Special Faculty shall participate in a minimum of one (1) peer observation of teaching per academic year (if the contract is for one term only, a peer observation of teaching must be conducted in that term). After three (3) years of continuous service, there must be at least one (1) peer observation of teaching per contract period. Teaching assistants and graduate students in teaching roles shall be subject to a minimum of one (1) peer observation of teaching per academic year (if the contract is for one term only, a peer observation of teaching must be conducted in that term).
- b. Departments shall adopt procedures and practices for peer observations of teaching that shall include:
 - i. An orderly rotation among all faculty of the responsibility for peer observations;
 - ii. A uniform format for the observation;
 - iii. Reporting of the results to the Department Chair(s), with a copy provided to the faculty member being observed, within ten (10) calendar days following the observation;
 - iv. The right of a faculty member being observed to request an additional peer observation by a different faculty member and the right of a faculty member being observed to provide a written response to any peer observation. Such a response must be presented to the Department Chair within seven (7) calendar days from the receipt of the peer observation and shall be attached to the peer observation narrative.

4.10 Annual Review of Special Faculty. Each special faculty member shall have their performance assessed annually by their respective Department Chair/Supervisor. For each review, the faculty member shall provide a performance self-assessment to the Department Chair. The Department Chair shall meet with each faculty member to review the work of the faculty member relative to their approved work plan including the faculty member's performance related to teaching, research/creative activity and service and shall develop the work plan for the upcoming academic year. A faculty member who does not adequately satisfy their workload expectations for the review period shall be subject to a Performance Improvement Plan. The plan must include specific steps designed to lead to improvement, a specified timeline in which improvement is expected to occur, and a clear statement of consequences should improvement not occur within the designated timeline. These plans must be approved by the Dean.

4.10.1 Items Not Considered in Annual Review No items that will be considered or relied upon in an Annual Review may be placed in the faculty member's personnel file within seven (7) calendar days prior to the Annual Review, except under extenuating circumstances.

4.10.2 Presence of an Observer at the Annual Review. Special Faculty members have the right to request, no later than three (3) calendar days prior to their annual performance review meeting with the Department Chair, to be accompanied by an observer of their choosing. If the faculty member chooses to bring an observer, the Department Chair may also have an observer at the meeting. Observers may not participate in the discussion between the faculty member and the Department Chair and in no event may an observer be present as an attorney for either party. Due to the confidential nature of the annual performance review meeting and the fact that personnel information will be shared, all observers must sign an Observer Waiver in advance of attending the meeting. This document includes the faculty member's authorization for the observer to hear the confidential information and commits the observer to maintain the confidentiality of any information heard at the meeting.

4.11 Subsequent Appointment of Special Faculty.

4.11.1 Submission of Materials for Review. Special Faculty members seeking appointment for a subsequent term shall follow departmental guidelines for submission of materials for review.

4.11.2 Recommendation of APT Committee. The Department Chair shall provide materials related to requests for subsequent appointment to the APT Committee for consideration. Upon review of the materials and a vote, the final recommendation regarding the subsequent appointment of a Special Faculty member shall be forwarded to the Department Chair by the APT Committee Chair.

and/or employ additional methods to offer students the opportunity to provide feedback on instruction, but those methods must be outlined in the college/school or department's foundational documents.

3.10.3 Chair Recommendation. The Department Chair shall review the APT Committee vote and all attached materials. The Department Chair will submit their own independent recommendation regarding promotion and/or tenure, which must include a statement of reason(s) for the Chair's recommendation, with all attached materials to the Dean (with a copy to the faculty member) within seven (7) calendar days, except under extenuating circumstances.

3.10.4 Dean Recommendation. The Dean shall review the Department Chair's recommendation and all attached materials. The Dean will submit their own independent recommendation regarding the promotion and/or tenure of the faculty member, which must include a statement of reason(s) for the Dean's recommendation, to the Provost and Executive Vice Chancellor (with a copy to the faculty member) no later than the deadline located in the Academic Affairs Promotion, Tenure and Reappointment Deadline Chart, which is updated annually.

3.10.5 Provost Recommendation. The Provost and Executive Vice Chancellor shall review the Dean's recommendation and all attached materials. The Provost and Executive Vice Chancellor will submit their own independent recommendation regarding promotion and/or tenure to the Chancellor and make all materials available to the Chancellor. The Provost and Executive Vice Chancellor's recommendation shall be submitted to the Chancellor (with a copy to the faculty member) by the deadline located in the Academic Affairs Promotion, Tenure and Reappointment Deadline Chart, which is updated annually, except under extenuating circumstances.

3.10.6 Chancellor Recommendation to the Board of Trustees. If the Chancellor recommends that a faculty member be granted a promotion in rank and/or tenure, the Chancellor shall forward the recommendation to the Board of Trustees for a final decision. If the Chancellor does not recommend promotion or tenure, the Chancellor shall notify the faculty member in writing and the faculty member will have the right to seek a review of the Faculty Employment Decision in accordance with *Chapter VI, Section 604 of The Code*, if the faculty member believes the decision was made based on an Impermissible Basis.

3.10.7 Final Decision by Board of Trustees. For faculty members not hired initially with academic tenure, academic tenure or promotion in rank may only be conferred by action of the Board of Trustees. The faculty member shall be informed within fourteen (14) calendar days of a decision by the Board of Trustees.

~~**3.11 3.11 Performance Review of Tenured Faculty (Post-Tenure Review).** Post-Tenure review ("PTR") is a cumulative, holistic and comprehensive ~~comprehensive~~, periodic evaluation of tenured faculty performance that 1) Assists faculty members in meeting university performance expectations; 2) Recognizes and rewards exemplary performance when faculty members exceed expectations; 3) Provides for a clear plan and timetable for improvement of performance when faculty do not meet expectations; and 4) Provides for the imposition of appropriate sanctions, consistent with Chapter VI, Section 603 of The Code, when faculty members do not meet the goals established in a faculty success plan [FSP]. For each tenured faculty member a PTR shall take place at least every ~~conducted at a maximum of every~~ five (5) years ~~after a faculty member has received tenure~~. This review is in addition to the required annual performance review. ~~The purpose of PTR shall be to support and encourage excellence among the tenured faculty by: (1) recognizing and rewarding exemplary (exceeding expectations) faculty performance; (2) providing a clear plan and timetable for improvement to faculty performance that does not meet expectations; and (3) providing for the imposition of appropriate corrective measures for those faculty whose performance continues to not meet expectations, up to and including formal discharge in accordance with Chapter VI, Section 603 of The Code.~~~~

PTR shall provide for the evaluation of all aspects of the professional performance of tenured faculty members, whose primary responsibilities are teaching, research/creative activities, and ~~or~~ service. These evaluations shall be based on the faculty member's long-term work plan. PTR and resulting recommendations shall take the allocation of a faculty member's responsibilities into account. [Ref Workload policy here] ~~If faculty responsibilities are primarily in one or two of these areas, PTR and~~

~~resulting recommendations shall take this allocation of responsibilities into account.~~ Faculty performance shall be examined relative to the mission of the ~~u~~University, college, school, and program. All PTRs shall include a self-assessment component by the faculty member under review; written rationale for each assessment in each relevant category (teaching, research/creative activity, serve), in accordance with the faculty members long-term work plan and allocation of duties; and an overall ranking of exceeds expectations, meets, expectations, or does not meet exceptions. ~~reviews must include a statement of the faculty member's primary responsibilities and delineate specific strengths and weaknesses as they relate to the~~

3.11.1 Post-Tenure Review Training. All post-tenure review evaluators, including peer review committee members, department chairs, and deans shall complete training provided by the UNC System. [ADD LINK TO TRAINING]

3.11.2 faculty member's performance in teaching, research, scholarship and/or service.

3.11.1 Beginning PTR. At the beginning of the PTR cycle, the faculty member shall develop, with their Department Chair, a long-term, five-year work goal or plan that shall be coordinated with the annual work plans and annual ~~whic~~evaluations [UNC Policy 400.3.4], which shall be approved by the Dean. This long-term plan can be modified annually by the faculty member, in consultation with their Department Chair and subject to approval by the Dean, ~~as deemed appropriate by changes in institutional, departmental, or personal circumstances.~~ Annual performance evaluations should be considered as a component of PTR, but alone are not a substitute for a comprehensive five- year evaluatio Note that n

annual evaluations are not a substitute for the comprehensive, periodic, cumulative performance (PTR) rev.

3.11.2–3.11.3 Departmental Post PTenure Review Evaluation R-Committee. Each department shall have a PTR Evaluation Ccommittee made up of at least three (3)

~~(3) tenured faculty members who will be selected by a process agreed upon by the tenured faculty in the department in accordance with the following guidelines: 1) The faculty member being reviewed shall not have the option -serve staggered, non-renewable, three (3) year terms. Each department shall maintain procedures for appointment of a committee chair and filling of any vacancies for their PTR committee of selecting members of the post-tenure evaluation committee; 2) If the institution's department includes no other expert in the specific field of research/creative activity of the faculty member under review, then then the PTC evaluation committee shall inform the department chair. The chair in consultation with the dean will reach out to other UNC constituent institutions to request an external tenured faculty member with required expertise to evaluate the scholarship of the faculty member under review. -~~

~~All members of a PTR committee shall be trained annually how to perform a meaningful and unbiased review of a faculty member.~~

~~**3.11.4 Faculty Member's Self -Assessment.** Each faculty member under review shall provide their self-assessment of their performance over the previous five (5) years. The self-assessment shall be composed of: the faculty member's long-term, 5-year work plan with any noted updates to the plan since its creation; copies of ~~the each annual~~each annual review for the past 5 years; evidence of teaching effectiveness, – which may include student feedback; peer reviews of teaching; self -assessment; professional development specific to improving teaching; and a current curriculum vita. Materials ~~shall~~should be uploaded to the PTR InfoReady site ~~[LINK TO Be Added]~~.-~~

~~**3.11.5 Post-Tenure Evaluation Committee.** The PTR evaluation committee shall provide a brief, written rationale for each assessment in each relevant category (teaching, research/creative activity, service), in accordance with the faculty member's long-term work plan and allocation of duties. The PTR evaluation committee shall provide an overall ranking of Exceeds Expectations; Meets Expectations, or Does Not Meet Expectations.~~

~~**PTR Evaluation Committee.** Upon receipt of the faculty member's summary of their accomplishments during the PTR period, shall provide a~~
~~**3.11.5.1 Performance Review Outcomes:** The PTR evaluation committee for 1) Any performance review that includes a recommendation for recognition of performance that Exceeds Exceptions shall include a statement of the faculty member's primary responsibilities and specific descriptions of how the faculty member exceeded assigned duties and the directional goals established or, 2) Any performance review that indicates the faculty member does not meet expectations shall include a statement of the faculty member's primary responsibilities and specific descriptions of shortcomings as they relate to the faculty member's assigned duties and the directional goals established.~~

~~3.11.4~~

~~**3.11.3 Faculty Member's Right to Respond to PTR Committee Evaluation.** Upon receipt of the PTR committee's evaluation and recommendation, the faculty member shall have an opportunity to provide a written response directly to the Department Chair within fourteen (14) calendar days.~~3.

~~**3.11.6 Chair Evaluation/Recommendation.** The department chair or equivalent shall provide a separate, written evaluation of the faculty member. That evaluation shall explicitly state points of concurrence or points of variation from the post-tenure evaluation committee. Any recommendation for a faculty success plan or for recognition of performance that exceeds expectations shall be accompanied by a specific rationale for that recommendation. Upon receipt of the PTR Committee's evaluation and any response to that evaluation from the faculty member, the Department Chair shall submit to the Dean their own independent evaluation and recommendation of the performance rank along with the faculty member's materials, the PTR committee evaluation and any faculty response, within twenty (20) calendar days. This evaluation and recommendation shall be provided to the faculty member and the Dean. For academic units without departmental divisions, the Associate Dean functions as the Department Chair.~~

~~**3.11.7 Faculty Member's Right to Respond to PTR Evaluation Committee or Chair Evaluation.** Before the reviews of the post-tenure evaluation committee and the department chair proceed to the dean, the faculty member shall have no less than fourteen (14) calendar days from receiving these documents to provide a written response. If the faculty member under review disagrees with the evaluation, the response shall offer evidence in support of a different assessment. The response shall become part of the permanent record of the post-tenure review moving forward.~~

~~3.11.4~~

~~**3.11.5–3.11.8 Faculty Member's Right to Respond to Chair Evaluation.** Upon receipt of the Department Chair's evaluation and recommendation, the faculty member shall have an opportunity to provide a written response directly to the Dean within seven (7) calendar days.~~

Dean Evaluation/Recommendation. Upon receipt of the PTR evaluation materials from the Department Chair, and any response from the faculty member, the Dean shall provide a written evaluative review based on the faculty member's submitted submitmaterial. Other than relief available through the university grievance process [Faculty Handbook, Chapter 9: Faculty Employment Rights], the dean's rating is the final rating and the one reported to the UNC System Office. A faculty-to-the faculty member and the Provost and Executive Vice Chancellor their own independent cumulative evaluation and recommendation of the faculty member's performance rank within thirty (30) calendar days.

member whose review results in an overall rating of "exceeding expectations" shall be considered to have completed the post-tenure review process. A faculty member whose review results in an overall rating of "meets expectations" shall be considered to have completed the post-tenure review process. A faculty member whose reviews results in an overall rating of "does not meet expectations" shall be subject to a Faculty Success Plan [FSP].

3.11.8.1Faculty Success Plan.The plan shall be formative, and developed in cooperation with the faculty member, and include specific steps designed to lead to improvement. The plans shall include a specific timeline of at least one year from the date of implementation of the success plan, or longer, depending on the area in which improvement is required. It should also include a clear statement of consequences should improvement not occur within the designated timeframe. Consequences for failure to make improvement within the designated timeframe shall include disciplinary action including but not limited to demotion or formal discharge for "sustained unsatisfactory performance" in accordance with Chapter VI, Section 603 of The Code

3.11.8.1 Support of Plan. As a part of the FSP, the Department Chair is encouraged to assign one or more mentoring peers to the faculty member, and to require at least two (2) progress meetings yearly during the specified timeframe. The Ddepartment Cehair in consultation with the dean, may redefine faculty workloads and distribution of teaching, research/creative activity, and service in cases where a faculty member receives a less than satisfactory ratings. The Chair and Ddean shall ensure any changes to these duties are not punitive responses to the faculty member and instead address ways to support the department, college/school, and the institution to better leverage the faculty member’s expertise and abilities with the goal of improving their performance.

3.11.8.2 Faculty Success Plan and Workload. The faculty success plan shall detail the changes in duties and responsibilities the faculty member’s annual work plan and shall also change accordingly to ensure the faculty member is evaluated appropriately, based on the relevant allocation of workload [Faculty Handbook 2.6]

~~3.11.6–3.11.9 Provost Evaluation/Recommendation.~~ Those faculty members who receive an overall ranking of Exceeds Expectations from their Dean shall have their materials forward to the Provost and Executive Vice Chancellor. Based on the review, faculty members will be considered for a reward for exemplary service. The Provost and Executive Vice Chancellor shall review the Dean’s evaluation and recommendation including all attached materials. In the event the recommended performance rank is “exceeds expectations” the Provost and Executive Vice Chancellor will submit their own

independent recommendation regarding the performance rank to the Chancellor and make all materials available to the Chancellor.

~~3.11.7 Exceeds Expectations PTR.~~ Any recommendation received by the Provost and Executive Vice Chancellor for a faculty member who has exceeded expectations on their PTR shall be submitted to the Chancellor for consideration of a reward for exemplary service. If the Chancellor recommends that a faculty member be rewarded for exemplary service, the Chancellor shall forward the recommendation to the Board of Trustees for a final decision.

~~3.11.8 Does Not Meet Expectations PTR/Faculty Success Plan.~~ Any faculty member who receives a “does not meet expectations” rating on their PTR will be given the opportunity to improve performance. In consultation with the Dean, the faculty member’s Department Chair will: (a) consider the evaluation from the PTR committee and the faculty member’s response; and (b) prepare a written individual Faculty Success Plan (“FSP”) for the faculty member.

- ~~a.~~ The FSP shall include a specific timeline including steps for improvement and a clear statement of consequences should improvement not occur within the designated timeframe. Consequences for failure to make improvement within the designated timeframe shall include disciplinary action including but not limited to demotion or formal discharge for “sustained unsatisfactory performance” in accordance with *Chapter VI, Section 603 of The Code*

- ~~b. As a part of the FSP, the Department Chair is encouraged to assign one or more mentoring peers to the faculty member, and to require at least two (2) progress meetings during the specified timeframe. If the faculty member's duties are modified as a result of a less than satisfactory rating, the PDP should consider the new allocation of responsibilities.~~

~~This summary shall include recognition for exemplary performance, if applicable.~~

~~**3.11.10 Annual Reporting.** Department Chairs, through their Deans, shall certify compliance with all aspects of the post-tenure review process and with UNC policy and guidelines to Academic Affairs. The Provost shall note the institution's compliance in an annual report on PTR to the UNC System Office. Academic Affairs shall compile an annual report of the faculty regarding PTR evaluations across all colleges/schools. The report shall be provided to the Chancellor who may share the report with the Board of Trustees at the Chancellor's discretion.~~

3.10 Promotion and Tenure Process.

- 3.10.1 Materials Required for Promotion or Tenure.** All faculty members applying for promotion or tenure shall submit the materials prescribed by the *AASOP*.
- 3.10.2 APT Committee Recommendation/Notification of Results.** Upon review of the materials in accordance with university, college/school, and department/unit standards, the APT Committee shall vote, and forward its recommendation to the Department Chair. The Department Chair shall notify the faculty member of the results of the APT Committee vote as soon as possible, but in no event later than seven (7) calendar days unless there are extenuating circumstances.
- 3.10.3 Chair Recommendation.** The Department Chair shall review the APT Committee vote and all attached materials. The Department Chair will submit their own independent recommendation regarding promotion and/or tenure, which must include a statement of reason(s) for the Chair's recommendation, with all attached materials to the Dean (with a copy to the faculty member) within seven (7) calendar days, except under extenuating circumstances.
- 3.10.4 Dean Recommendation.** The Dean shall review the Department Chair's recommendation and all attached materials. The Dean will submit their own independent recommendation regarding the promotion and/or tenure of the faculty member, which must include a statement of reason(s) for the Dean's recommendation, to the Provost and Executive Vice Chancellor (with a copy to the faculty member) no later than the deadline located in the Academic Affairs Promotion, Tenure and Reappointment Deadline Chart, which is updated annually.
- 3.10.5 Provost Recommendation.** The Provost and Executive Vice Chancellor shall review the Dean's recommendation and all attached materials. The Provost and Executive Vice Chancellor will submit their own independent recommendation regarding promotion and/or tenure to the Chancellor and make all materials available to the Chancellor. The Provost and Executive Vice Chancellor's recommendation shall be submitted to the Chancellor (with a copy to the faculty member) by the deadline located in the Academic Affairs Promotion, Tenure and Reappointment Deadline Chart, which is updated annually, except under extenuating circumstances.
- 3.10.6 Chancellor Recommendation to the Board of Trustees.** If the Chancellor recommends that a faculty member be granted a promotion in rank and/or tenure, the Chancellor shall forward the recommendation to the Board of Trustees for a final decision. If the Chancellor does not recommend promotion or tenure, the Chancellor shall notify the faculty member in writing and the faculty member will have the right to seek a review of the Faculty Employment Decision in accordance with *Chapter VI, Section 604 of The Code*, if the faculty member believes the decision was made based on an Impermissible Basis.
- 3.10.7 Final Decision by Board of Trustees.** For faculty members not hired initially with academic tenure, academic tenure or promotion in rank may only be conferred by action of the Board of Trustees. The faculty member shall be informed within fourteen (14) calendar days of a decision by the Board of Trustees.

3.11 Performance Review of Tenured Faculty (Post-Tenure Review). Post-Tenure review ("PTR") is a cumulative, holistic and comprehensive periodic evaluation of tenured faculty performance that 1) Assists faculty members in meeting university performance expectations; 2) Recognizes and rewards exemplary performance when faculty members exceed expectations; 3) Provides for a clear plan and timetable for improvement of performance when faculty do not meet expectations; and 4) Provides for the imposition of appropriate sanctions, consistent with *Chapter VI, Section 603 of The Code*, when faculty members do not meet the goals established in a faculty success plan [FSP]. For each tenured faculty member a PTR shall take place at least every five (5) years. This review is in addition to the required annual performance review.

PTR shall provide for the evaluation of all aspects of the professional performance of tenured faculty members, whose primary responsibilities are teaching, research/creative activities, and service. These evaluations shall be based on the faculty member's long-term work plan. PTR and resulting recommendations shall take the allocation of a faculty member's responsibilities into account.[*UNC Policy 400.3.4*] Faculty performance shall be examined relative to the

mission of the university, college, school, and program. All PTRs shall include a self-assessment component by the faculty member under review; written rationale for each assessment in each relevant category (teaching, research/creative activity, serve), in accordance with the faculty members long-term work plan and allocation of duties; and an overall ranking of exceeds expectations, meets, expectations, or does not meet exceptions.

3.11.1 Post-Tenure Review Training. All post-tenure review evaluators, including peer review committee members, department chairs, and deans shall complete training provided by the UNC System. [[LINK TO TRAINING](#)]

3.11.2 Beginning PTR. At the beginning of the PTR cycle, the faculty member shall develop, with their Department Chair, a long-term, five-year work plan that shall be coordinated with the annual work plans and annual evaluations [*UNC Policy 400.3.4*], which shall be approved by the Dean. This long-term plan can be modified annually by the faculty member, in consultation with their Department Chair and subject to approval by the Dean. Note that annual evaluations are not a substitute for the comprehensive, periodic, cumulative performance (PTR) rev.

3.11.3 Departmental Post Tenure Review Evaluation Committee. Each department shall have a PTR Evaluation Committee made up of at least three (3) tenured faculty members who will be selected by a process agreed upon by the tenured faculty in the department in accordance with the following guidelines: 1) The faculty member being reviewed shall not have the option of selecting members of the post-tenure evaluation committee; 2) If the institution's department includes no other expert in the specific field of research/creative activity of the faculty member under review, then then the PTC evaluation committee shall inform the department chair. The chair in consultation with the dean will reach out to other UNC constituent institutions to request an external tenured faculty member with required expertise to evaluate the scholarship of the faculty member under review.

3.11.4 Faculty Member's Self -Assessment. Each faculty member under review shall provide their self-assessment of their performance over the previous five (5) years. The self-assessment shall be composed of: the faculty member's long-term, 5-year work plan with any noted updates to the plan since its creation; copies of each annual review for the past 5 years; evidence of teaching effectiveness, which may include student feedback; peer reviews of teaching; self -assessment; professional development specific to improving teaching; and a current *curriculum vita*. Materials shall be uploaded to the PTR InfoReady site [[LINK TO Be Added](#)].

3.11.5 Post-Tenure Evaluation Committee. The PTR evaluation committee shall provide a brief, written rationale for each assessment in each relevant category (teaching, research/creative activity, service), in accordance with the faculty member's long-term work plan and allocation of duties. The PTR evaluation committee shall provide an overall ranking of Exceeds Expectations; Meets Expectations, or Does Not Meet Expectations.

3.11.5.1 Performance Review Outcomes. The PTR evaluation committee for 1) Any performance review that includes a recommendation of recognition of performance that Exceeds Expectations shall include a statement of the faculty member's primary responsibilities and specific descriptions of how the faculty member exceeded assigned duties and the directional goals established or, 2) Any performance review that indicates the faculty member does not meet expectations shall include a statement of the faculty member's primary responsibilities and specific descriptions of shortcomings as they relate to the faculty member's assigned duties and the directional goals established.

3.11.6 Chair Evaluation/Recommendation. The department chair or equivalent shall provide a separate, written evaluation of the faculty member. That evaluation shall explicitly state points of concurrence or points of variation from the post-tenure evaluation committee. Any recommendation for a faculty success plan or for recognition of performance that exceeds expectations shall be accompanied by a specific rationale for that

recommendation. For academic units without departmental divisions, the Associate Dean functions as Department Chair.

3.11.7 Faculty Member's Right to Respond to PTR Evaluation Committee or Chair Evaluation. Before the reviews of the post-tenure evaluation committee and the department chair proceed to the dean, the faculty member shall have no less than fourteen (14) calendar days from receiving these documents to provide a written response. If the faculty member under review disagrees with the evaluation, the response shall offer evidence in support of a different assessment. The response shall become part of the permanent record of the post-tenure review moving forward.

3.11.8 Dean Evaluation/Recommendation. Upon receipt of the PTR evaluation materials from the Department Chair, and any response from the faculty member, the Dean shall provide a written evaluative review based on the faculty member's submitted material. Other than relief available through the university grievance process [*Faculty Handbook, Chapter 9: Faculty Employment Rights*], the dean's rating is the final rating and the one reported to the UNC System Office. A faculty member whose review results in an overall rating of "exceeding expectations" shall be considered to have completed the post-tenure review process. A faculty member whose review results in an overall rating of "meets expectations" shall be considered to have completed the post-tenure review process. A faculty member whose reviews results in an overall rating of "does not meet expectations" shall be subject to a Faculty Success Plan [FSP].

3.11.8.1 Support of Plan. As a part of the FSP, the Department Chair is encouraged to assign one or more mentoring peers to the faculty member, and to require at least two (2) progress meetings yearly during the specified timeframe. The Department Chair in consultation with the dean, may redefine faculty workloads and distribution of teaching, research/creative activity, and service in cases where a faculty member receives a less than satisfactory ratings. The Chair and Dean shall ensure any changes to these duties are not punitive responses to the faculty member and instead address ways to support the department, college/school, and the institution to better leverage the faculty member's expertise and abilities with the goal of improving their performance.

3.11.8.2 Faculty Success Plan and Workload. The faculty success plan shall detail the changes in duties and responsibilities the faculty member's annual work plan and shall also change accordingly to ensure the faculty member is evaluated appropriately, based on the relevant allocation of workload [*Faculty Handbook 2.6*]

3.11.9 Provost Evaluation/Recommendation. Those faculty members who receive an overall ranking of Exceeds Expectations from their Dean shall have their materials forward to the Provost and Executive Vice Chancellor. Based on the review, faculty members will be considered for a reward for exemplary service.

3.11.10 Annual Reporting. Department Chairs, through their Deans, shall certify compliance with all aspects of the post-tenure review process and with UNC policy and guidelines to Academic Affairs. The Provost shall note the institution's compliance in an annual report on PTR to the UNC System Office.