

**Faculty Handbook
Revisions for 2023-2024**

BOT Approval 12/6/24

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

December 10, 2024

Table of Contents

Table of Contents.....	2
Revision 1	
2.10.4 Faculty Workload Training.....	3
Revision 2	
2.9 Faculty Workload Assignments/Expectations.....	3
Revision 3	
2.9.4 Calculating Percentages, Course Buyouts & Course Overloads.....	6
Revision 4	
5.1.3 Service Obligations During Approved Leave.....	6
Revision 5	
5.4.13 Other campus Obligations/Relieved of All Duties.....	7
Revision 6	
7.3.2 Participation of Tenured Faculty on Leave.....	7
Revision 7	
3.3 Exceptions	
3.3.1 Tenure Clock Extension Due to Extenuating Circumstances.....	7
Revision 8	
5.6.1 Information Not Contained in Personnel Files.....	8
Revision 9	
4.12 Promotion of Special Faculty.....	9
Revision 10	
4.2.7 Teaching Faculty.....	9

Black = Existing Handbook Language

Red = Proposed new Handbook language

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.

Revision 1

Reason for Request:

Compliance with UNC System policy

Current Language:

None

Proposed Language:

2.10.4 Faculty Workload Training. Training shall be provided by Academic Affairs for all Deans, Dean designees, and Department Chairs who develop, review, or revise faculty workload plans or faculty success plans.

Revision 2

Reason for Request:

Clarification, remove redundant text

Current Language:

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.

Proposed Language:

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

2.6.1 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.

2.6.2 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.

2.6.3 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

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

2.8 Differential Teaching Loads. Differential teaching loads may be approved by the Dean or the Dean's designee 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.

2.10-2.9 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.

2.9.1 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. A teaching load of 24 credit hours (or equivalent contact hours) per academic year along with routinely expected faculty duties is typically constituted as: (1) 80% of the annual workload for a faculty member (with a typical 3 credit hour (or equivalent contact hour) organized class being equivalent to 10% of the annual workload); (2) Other faculty assignments that advance the mission of the academic unit and institution shall constitute 20% of the annual workload. Any differential workload shall most often be calculated from this basis. Furthermore, ~~these~~ specified 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.

2.9.2 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.

2.9.3 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 (FSP). ~~The faculty member shall take part in the development of the success plan which shall be formative in nature, including specific steps designed to lead to improvement, a specified timeline of no less than twelve months from the date of the success plan, and a clear statement of consequences should improvement not occur within the designated timeline. 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*.

Revision 3

Reason for Request:

Compliance with UNC System Policy (moving from AASOPS to Handbook)

Current Language:

None

Proposed Language:

2.9.4 Calculating Percentages, Course Buyouts & Course Overloads. The standard distribution of effort for tenure-track faculty members each academic year is 60% teaching (10% per 3-hour course), with the remaining 40% allocated between research and service. The standard distribution effort for full time special faculty is 80% teaching and 20% service. A course buyout is equivalent to a shift of 10% effort. A course overload may or may not be reflected in a percentage shift but should be articulated in the comments section of the Workload Plan form. Calculations exclude summer efforts unless otherwise specified for faculty members with 10,11,or 12-month contracts.

Revision 4

Reason for Request: Providing APT rights while on Family Medical Leave

Current Language:

5.1.3 Service Obligations During Approved Leave. A faculty member is relieved of all service obligations to the University while on paid or unpaid leave, including professional leave and medical leave. More specifically, a faculty member is not eligible to serve on departmental, college or University committees during the period of time in which the leave occurs, or during an academic year in which they are absent from campus from any reason (for example, on a foreign exchange) for a semester or more. However, tenured faculty members may choose to participate in Appointment, Promotion, and Tenure Committees (APT) meetings while on professional leave or reassigned time, provided they are not located in a foreign country on leave.

Proposed Language:

5.1.3 Service Obligations During Approved Leave. A faculty member is relieved of all service obligations to the University while on paid or unpaid leave, including professional leave and medical leave.

More specifically, a faculty member **shall not** serve on departmental, college or University committees during the period of time in which the leave occurs, or during an academic year in which they are absent from campus **for** any reason (for example, on a foreign exchange) for a semester or more. However, tenured faculty members may choose to participate in Appointment, Promotion, and Tenure Committee (APT) meetings while on professional leave, ~~or~~ reassigned time, **or family/medical leave** provided they are not located in a foreign country on leave.

Revision 5

Reason for Request: Providing APT rights while on Family Medical Leave

Current Language:

5.4.13 Other Campus Obligations/Relieved of All Duties. During the period a faculty member is out on Family/Medical leave, the faculty member is relieved of all duties and not permitted to participate in any department, college, or University committees or other obligations.

Proposed Language:

5.4.13 Other Campus Obligations/Relieved of All Duties. During the period a faculty member is out on Family/Medical leave, the faculty member is relieved of all duties and not permitted to participate in any department, college, or University committees or other obligations, **with the exception of APT Committees. A tenured faculty member on Family/Medical leave is not required to serve on the APT Committee while on leave, but is eligible to serve should they decide to do so.**

Revision 6

Reason for Request: Providing APT rights while on Family Medical Leave

Current Language:

7.3.2 Participation of Tenured Faculty on Paid Leave. A faculty member who is on paid leave (other than paid FMLA, other medical leave or administrative leave with pay pending the outcome of an investigation) may choose to participate in APT Committee meetings and actions.

Proposed Language:

7.3.2 Participation of Tenured Faculty on ~~Paid~~ Leave. A faculty member who is on **leave** (other than paid FMLA, ~~other medical leave or administrative leave with pay pending the outcome of an investigation~~) may choose to participate in APT Committee meetings and actions **in accordance with all relevant AASOPs and departmental/unit foundational documents.**

Revision 7

Reason for Request: To create a policy for addressing the impact of exigent or catastrophic events on faculty members' progress in research, creative activities or scholarship.

Current Language: N/A

Proposed Language:

3.3 Exceptions

3.3.1 Tenure Clock Extension Due to Extenuating Circumstances. For extenuating circumstances outside of formal leave(s), a faculty member may petition for one-year extension of their probationary period due to exigent circumstances beyond the faculty member's personal control that are either ongoing or severe enough to delay the faculty member's expected yearly progress in research, creative activities or scholarship.

Revision 8

Reason for Request: Modification to address the scope of the personnel file

Current Language:

5.6.1 Information Not Contained in Personnel Files. Not all information that relates to an employee is part of their personnel file. Information that relates to an employee, but is not part of the personnel file includes:

a. Investigative Materials. Any information that is otherwise confidential under other UNC System or Appalachian State University policies, including investigative files housed in the Office of Human Resources, Academic Affairs, Office of General Counsel, or the Office of Access & Equity, shall not be in the personnel file. This information, which includes witness statements and other documentary evidence, will not be released except under court order.

b. Information Under Appeal/Review. No materials on a personnel matter that is being contested under the provisions of Chapter 9 of this Faculty Handbook shall be included in a Personnel File prior to all appellate proceedings being completed.

c. No Anonymous Information. While anonymous reporting may be the basis for an investigation, no material or information received from or provided by anonymous sources may be placed in a personnel file. The only exception is data from student reviews of a faculty member's instruction. These materials may be used for purposes of annual evaluation and other personnel decisions.

d. No Additions Immediately Prior to Annual Review or Other Personnel Action. No items that will be considered or relied upon in an Annual Review or other personnel action may be placed in the faculty member's personnel file within the seven (7) calendar days prior to the Annual Review or personnel action, except under extenuating circumstances.

Proposed Language:

5.6.1 Information Not Contained in Personnel Files. Not all information that relates to an employee is part of their personnel file. Records, or portions of records, that are privileged, protected from disclosure under applicable state or federal law, or otherwise confidential, may not be included in an employee's personnel file. ~~Information that relates to an employee, but is not part of the personnel file includes:~~

~~a. Investigative Materials. Any information that is otherwise confidential under other UNC System or Appalachian State University policies, including investigative files housed in the Office of Human Resources, Academic Affairs, Office of General Counsel, or the Office of Access & Equity, shall not be in the personnel file. This information, which includes witness statements and other documentary evidence, will not be released except under court order.~~

~~b. Information Under Appeal/Review. No materials on a personnel matter that is being contested under the provisions of Chapter 9 of this Faculty Handbook shall be included in a Personnel File prior to all appellate proceedings being completed.~~

~~c. No Anonymous Information. While anonymous reporting may be the basis for an investigation, no material or information received from or provided by anonymous sources may be placed in a personnel file. The only exception is data from student reviews of a faculty member's instruction. These materials may be used for purposes of annual evaluation and other personnel decisions.~~

~~d. No Additions Immediately Prior to Annual Review or Other Personnel Action. No items that will be considered or relied upon in an Annual Review or other personnel action may be placed in the faculty member's personnel file within the seven (7) calendar days prior to the Annual Review or personnel action, except under extenuating circumstances.~~

Revision 9

Reason for Request:

Clarification

Current Language:

4.12 Promotion of Special Faculty. Special Faculty members whose appointments qualify for consideration for promotion in rank may apply in accordance with the process established in their department's foundational documents and the AASOP. All decisions on promotion of Special Faculty by the Provost and Executive Vice Chancellor are final. A candidate whose promotion is denied, but who has not yet reached the maximum number of appointments for Special Faculty set forth in this Chapter, may still be eligible to receive a subsequent appointment at the existing rank and can apply for promotion again in subsequent years.

Proposed Language:

4.12 Promotion of Special Faculty. Special Faculty members whose appointments qualify for consideration for promotion in rank may apply in accordance with the process established in their department's foundational documents and the AASOP. All decisions on promotion of Special Faculty by the Provost and Executive Vice Chancellor are final. **A candidate whose promotion is denied may still be eligible to receive a subsequent appointment at the existing rank and can apply for promotion again in subsequent years.**

Revision 10

Reason for Request:

New pathway for Non-Tenure Track Faculty with terminal degrees

Current Language:

None

Proposed Language:

4.2.7 Teaching Faculty. Teaching Faculty must be qualified as defined by professional/discipline standards. While the primary responsibility of such faculty is teaching, they also are expected to be involved in service and may be engaged in scholarship or creative activities. Teaching faculty may hold the ranks below and may choose to apply for promotion. Minimum qualifications for each rank are below. Any additional qualifications shall be specified in the Department's foundational documents.

4.2.7.1 Teaching Assistant Professors. Teaching Assistant Professors must possess at a minimum:

- i.the appropriate earned terminal degree from an accredited institution;
- ii.demonstrated ability in teaching;
- iii.willingness to contribute to institutional affairs and professional service to the University and/or to the public;
- iv.potential to develop in other areas required by the assigned workload.

4.2.7.2 Teaching Associate Professors. Teaching Associate Professors must possess at a minimum:

- i.The appropriate earned terminal degree from an accredited institution;
- ii.at least five (5) years of appropriate experience, unless there are exceptional circumstances;
- iii.recognized skill in teaching;
- iv.demonstrated willingness to contribute to institutional affairs and professional service to the University and/or to the public;

v. recognized accomplishment in other areas required by the assigned workload.

4.2.7.3 Teaching Professors: Teaching Professors must possess at a minimum:

- i. The appropriate earned terminal degree from an accredited institution;
- ii. at least ten (10) completed years of appropriate experience with at least three years of full-time teaching experience at Appalachian State University;
- iii. outstanding accomplishment in teaching;
- iv. demonstrated ability and participation in professional service to the University and/or public;
- v. outstanding accomplishment in other areas required by the assigned workload.