

***Faculty Handbook***  
**Revisions for 2014**  
**Approved by the Board of Trustees**  
**June 27, 2014**

The following *Faculty Handbook* revisions are the result of actions by the Faculty Senate, approval by the Provost, and final approval, upon recommendation of the Provost, by the Board of Trustees on June 27, 2014. The date Faculty Senate approved items is indicated in the explanation box. The sections included here had significant revisions. Please also review [Faculty Handbook Changes for Legal and Policy Compliance](#) (web link).

**2.8 The Departmental Chair** - Approval by Faculty Senate on April 14, 2014

**Explanation:** In 2.8 (h), language was changed to “appropriate faculty” committee because of the addition of Promotion and Tenure committee. (h) initiate, in consultation with the [appropriate faculty](#) committee, recommendations for appointment, reappointment, promotion, tenure, and dismissal in accordance with the University and college policy;

**New language: 2.8 The Departmental Chair**

(h) initiate, in consultation with the [appropriate faculty](#) committee, recommendations for appointment, reappointment, promotion, tenure, and dismissal in accordance with the University and college policy;

**2.9 The Departmental Assistant Chair** - Approved by Faculty Senate on April 14, 2014

**Explanation:** New language was added for clarification about matters that need to be addressed in the departmental assistant chair policy

**New language: 2.9 The Departmental Assistant Chair**

Every department with an assistant chair must develop a departmental assistant chair policy, approved by the department, [specifying how this position will be filled, evaluated for effectiveness, reviewed, renewed, and dismissed](#) (see Article II, Section 2 of the Faculty

**2.10 The Departmental Graduate Program Director** – Approved by Faculty Senate on April 14, 2014

**Explanation:** This is a new section. Although these positions have existed for many years, there was no Faculty Handbook language to describe the responsibilities. The new language will help to insure similarity of responsibilities across academic departments.

Constitution). It is the general responsibility of the assistant chair to work with the department chair to guide the department toward its goals.

### **New language: 2.10 The Departmental Graduate Program Director**

If a department has a graduate program director, that person will receive an initial term of two or more years in accordance with the departmental graduate program director policy. Subsequent terms may be approved in accordance with the departmental graduate program director policy. Review of the graduate program director will follow the departmental graduate program director policy.

Every department with a graduate program director must develop a departmental graduate program director policy, approved by the department, [specifying how this position will be filled, evaluated for effectiveness, reviewed, renewed, and dismissed](#) (see Article II, Section 2 of the Faculty Constitution).

It is the general responsibility of the graduate program director to work with the departmental chair, graduate faculty, and the graduate school to guide the department toward its goals.

The graduate program director is the main liaison with the graduate school and is responsible for ensuring that key tasks are completed in a timely manner. It is the general responsibility of the graduate program director to work with the departmental chair and graduate faculty to guide the department toward its goals.

**2.11 The Departmental Undergraduate Program Director** – Approved by Faculty Senate on April 14, 2014

**Explanation:** This is a new section. Although these positions have existed for many years, there was no Faculty Handbook language to describe the responsibilities. The new language will help to insure similarity of responsibilities across academic departments.

### **New language: 2.11 The Departmental Undergraduate Program Director**

If a department has an undergraduate program director, that person will receive an initial term of two or more years in accordance with the departmental undergraduate program director policy. Subsequent terms may be approved in accordance with the departmental undergraduate program director policy. Review of the undergraduate program director will follow the departmental undergraduate program director policy.

Every department with an undergraduate program director must develop a departmental undergraduate program director policy, approved by the department, specifying how this position will be filled, evaluated for effectiveness, reviewed, renewed, and dismissed (see Article II, Section 2 of the Faculty Constitution).

It is the general responsibility of the undergraduate program director to work with the departmental chair and faculty to guide the department toward its goals.

### **3.7 Academic Tenure - Approved by Faculty Senate on April 14, 2014**

**Explanation:** **3.7.1** Changes were made to clarify that faculty members need to meet criteria for the rank of associate professor or professor, in addition to the criteria for tenure, in order to be awarded tenure.

**3.7.2** Reference to departmental criteria was added with a clarifying statement that both Faculty Handbook criteria for tenure and departmental criteria must be met. Since Faculty Handbook criteria are general, this new language adds weight to department criteria which reflects longstanding practice.

Previous number **3.7.4** ~~“Nothing in these regulations shall be construed to preclude a faculty member from seeking and being recommended for permanent tenure and promotion at any time.”~~ This sentence was also deleted in 3.8.5.6 and 3.8.6.7 because it no longer reflected current practice.

### **New language: 3.7 Academic Tenure**

Academic tenure refers to the conditions and guarantees that apply to a faculty member’s employment. More specifically, it refers to the protection of a faculty member against discharge from employment except for reasons of (i) incompetence, (ii) neglect of duty, or (iii) misconduct of such a nature as to indicate that the individual is unfit to continue as a member of the faculty, as specified in Code Section 603 and in accordance with the procedures provided in [section 4.10](#), or against termination of employment except as provided for in [section 4.9](#). (The overall policy for academic tenure in the UNC system is found in the UNC Code 602.)

**3.7.1** The purposes intended to be served by [providing](#) the protection of academic tenure to faculty members are to secure their academic freedom and to help the institution attract and retain faculty members of high quality. While academic tenure may be withheld on any grounds other than those specifically stated to be impermissible in [section 3.7.6](#), its conferral requires the assessment that the candidate has met the criteria for the rank of associate professor as specified in [3.8.6.2](#). Promotion or appointment to the rank of professor confers permanent tenure ([3.8.6.6](#) and [3.8.7.3](#)) and requires the assessment that the candidate has met the criteria for the rank of professor ([3.8.7.2](#)).

**3.7.2** The Faculty Handbook criteria for the conferral of tenure shall be the basis for each academic department’s criteria for conferral of tenure, and both Faculty Handbook and departmental criteria shall be considered in all tenure decisions. Departmental criteria may be more rigorous than Faculty Handbook criteria.

The conferral of tenure requires:

- (a) an assessment of the faculty member’s demonstrated professional competence;

- (b) potential for future contributions;
- (c) commitment to effective teaching, research, and public service; and
- (d) the needs and resources of the institution.

### **3.8 Tenure-Eligible Ranks - Approved by Faculty Senate on April 14, 2014**

**Explanation: 3.8.3** Reference to departmental criteria was added with a clarifying statement that both Faculty Handbook criteria for ranks and departmental criteria must be met. Since Faculty Handbook criteria are general, this new language adds weight to department criteria, which are the more important criteria.

**3.8.3** The faculty ranks to which appointments may be made, the minimal criteria that a candidate must meet in order to be eligible for consideration for the various ranks, and the incidents of academic tenure applicable to each rank are set forth in sections 3.8.4 through 3.8.7. [The Faculty Handbook criteria for ranks shall be the basis for each academic department's criteria, and both Faculty Handbook and departmental criteria shall be considered in all appointment, reappointment, promotion, and tenure decisions. Departmental criteria may be more rigorous than Faculty Handbook criteria.](#)

### **3.8.5. Assistant Professor - approved by Faculty Senate on April 14, 2014**

**Explanation: 3.8.5.5** is a new section that clarifies the probationary period for faculty starting work in spring semester. Resolves a situation which had been handled on a case by case basis.

**3.8.5.6** is heavily revised language to improve the credit for service process for department chairs and faculty candidates if faculty candidates have had prior experience in tenured, tenurable, or equivalent positions. Establishes that credit toward tenure is to be determined at the time of hire and stated in the offer letter and initial contract. Maximum years of credit are three.

**3.8.5.13** This is a major change, which allows assistant professors to request review for promotion to associate professor with tenure one year earlier than the mandatory year. If the assistant professor is not successful one year earlier, he/she may request review again in the mandatory year.

**3.8.5.14** is a new section that makes explicit the maximum probationary period for assistant professors; new language has not changed past practice, but has brought together language in a clear manner.

### **3.8.5 Assistant Professor**

**New language: 3.8.5.5** [If a faculty member begins employment between January 1 and May 15, the partial academic or calendar year shall not count as part of the probationary period.](#)

**3.8.5.6** [The departmental chair and an assistant professor candidate must negotiate any credit for service elsewhere to be granted toward tenure and promotion at the time of the offer. The candidate may submit to her or his departmental chair a written request \(with appropriate supporting documentation\) that up to, but no more than, three years served elsewhere in a tenured](#)

or tenurable position (or in an equivalent position) may be counted toward tenure and promotion at Appalachian State University. Following review of materials and consultation with the departmental promotion and tenure committee, the chair will make a recommendation to the dean, and the dean will make a recommendation to the provost and executive vice chancellor. The final decision, which shall rest with the provost and executive vice chancellor, shall be made on the basis of the verified documentation provided and shall be irrevocable. Any service credited toward tenure and promotion must be specified in the letter of offer at the time of hire and included in the provisions of the initial contract.

**3.8.5.13** An Assistant Professor may request review for promotion to Associate Professor with tenure one year earlier than the mandatory year (see 3.8.5.14). An Assistant Professor must request review for promotion and tenure at the same time. If the Assistant Professor is granted promotion to Associate Professor and tenure, the action shall become effective at the beginning of the next fiscal year. If the Assistant Professor is unsuccessful in his/her review, he/she may request review in the following, mandatory year.

**3.8.5.14** An Assistant Professor must be considered for tenure during his or her sixth year if he or she has not been granted tenure earlier (3.8.5.13). Under no circumstances should the length of the probationary period exceed seven years of full-time service except when the probationary period has been extended according the provisions of 3.8.5.10, 3.8.5.11, and/or 6.2.

**3.8.6 Associate Professor** - Approved by Faculty Senate on April 14, 2014

**Explanation: 3.8.6.2 (a)** “Unless there are exceptional circumstances” was moved to modify both the appropriate earned terminal degree and five years of appropriate experience.

**3.8.6.4** This is a new section that clarifies the probationary period for faculty starting work in the spring semester. Resolves a situation that had been handled on a case by case basis.

**3.8.6.5** Heavily revised language to improve the credit for service process for department chairs and faculty candidates if faculty candidates have had prior experience in tenured, tenurable, or equivalent positions. Establishes that credit toward tenure is to be determined at the time of hire and will be stated in the offer letter and initial contract. Maximum years of credit are three. Similar to content in 3.8.5.6 for assistant professors.

**3.8.6.9** Makes explicit the maximum probationary period for associate professors; new language has not changed past practice, but has brought together language in a clear manner. Similar in intent to 3.8.5.14.

**3.8.6 Associate Professor**

**New language: 3.8.6.2** Minimal criteria for consideration of appointment/promotion to the rank of associate professor are:

- (a) the appropriate earned terminal degree from an accredited institution and at least five (5) years of appropriate experience, **unless there are exceptional circumstances**;
- (b) recognized skill in teaching;
- (c) recognized accomplishment in research or other germane creative activity;
- (d) recognized accomplishment in professional service to the University and/or to the public; and

(e) demonstrated willingness to participate in institutional affairs.

**3.8.6.4** If a faculty member begins employment between January 1 and May 15, the partial academic or calendar year shall not count as part of the probationary period.

**3.8.6.5** If an associate professor candidate is not appointed with tenure, the departmental chair and the candidate must negotiate any credit for service elsewhere to be granted toward tenure at the time of the offer. The candidate may submit to her or his departmental chair a written request (with appropriate supporting documentation) that up to, but no more than, three years served elsewhere in a tenured or tenurable position (or in an equivalent) may be counted toward tenure and promotion at Appalachian State University. Following review of materials and consultation with the departmental promotion and tenure committee, the chair will make a recommendation to the dean, and the dean will make a recommendation to the provost and executive vice chancellor. The final decision, which shall rest with the provost and executive vice chancellor, shall be made on the basis of the verified documentation provided and shall be irrevocable. Any service credited toward tenure and promotion must be specified in the letter of offer at the time of hire and included in the provisions of the initial contract.

**3.8.6.9** Associate Professors, not appointed with tenure, shall be reviewed for tenure no later than the fourth year of appointment except when the probationary period has been extended according to the provisions of 3.8.6.6, 3.8.6.7 and 6.2.

**3.8 Professor** - Approved by Faculty Senate on April 14, 2014

**Explanation:** 3.8.7.2 (a) In the professor section, “unless there is exceptional performance” was moved to modify both the appropriate earned terminal degree and ten years of appropriate experience. “Completed” was added to clarify the time frame.

**New language: 3.8.7 Professor**

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

- (a) the appropriate earned terminal degree from an accredited institution, and at least ten (10) **completed** years of appropriate experience **unless there is exceptional performance**;
- (b) recognized skill in teaching;
- (c) evidence of at least one of the following:
  - (i) outstanding accomplishment in research or other germane creative activity with ongoing, recognized accomplishment in professional service to the University and/or public; or
  - (ii) outstanding accomplishment in professional service to the University and/or to the public with ongoing, recognized accomplishment in research or other germane creative activity; and
- (d) demonstrated ability and participation in institutional affairs.

### 3.13.4 Lecturers - Approved by Faculty Senate on April 14, 2014

**Explanation: 3.13.4.1** In the fifth line down, “have the opportunity” was changed to “may receive consideration” to reflect the actual review process.

**3.13.4.3** In the first line, “from lecturer” was added to clarify that a non-tenure track faculty member already had to be a lecturer before being promoted to senior lecturer.

**3.13.4.3.a** “Post matriculation of a master’s degree” was added to clarify that the teaching experience needed to be after receiving a master’s degree, not as part of a graduate program.

### New language: 3.13.4 Lecturers

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

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

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

### 4.1.8 Procedures of Departmental Promotion and Tenure Committees - Approved by Faculty Senate on October 14, 2013

**Explanation: 4.1.8.4** The sentence, “Voting will be carried out anonymously by paper ballots”, was added at the beginning of 4.1.8.4. When changes were made to the Faculty Handbook in 2013, this crucial phrase was inadvertently omitted. It is necessary to insure anonymous ballots. “The vote justification forms” was added to the first sentence of the second paragraph.

**4.1.8.4:** [Voting will be carried out anonymously by paper ballots.](#) In addition, each member of the departmental promotion and tenure committee (PTC) shall be encouraged to complete a university-wide vote justification form citing specific evidence of why the candidate does or does not meet departmental criteria for contract renewal, promotion, and/or tenure in the areas of

teaching, research, and service as per the departmental guidelines. These forms are designed to provide important information to the deans and the provost in making their decisions.

The [vote justification forms](#), which may be anonymous, shall be submitted within three working days of the PTC meeting at which the vote is taken. These letters shall be given to the committee chair, who will then provide these to the departmental chair and the dean at the end of the aforementioned working days, and sent through the dean to the provost and executive vice chancellor.

**Paid Leave** - Approved by Faculty Senate on April 14, 2014

**Explanation:** 6.2.1.2 deals with the possibility of a second semester of a medical or family leave of absence was updated by changing “There may be occasions...” to “There may be extraordinary circumstances...”. The new language more accurately reflects the limitations placed on this request.

**New language:** 6.2.1.2 There may be [extraordinary circumstances](#) when a one-semester leave is not sufficient. When this is the case, a request for an extension of the leave may be made subject to the procedures and conditions stated above. Should time in excess of two consecutive semesters be required, it will be necessary to consider a leave of absence without pay or a medical disability leave.

#### **Item 6: Change of Faculty Handbook Committee to Faculty Governance Committee**

**7.2.9 Faculty Handbook Committee** – Approved by Faculty Senate on November 11, 2013

**Explanation:** This change renames the Faculty Handbook Committee and updates its charge. The change brings ASU in agreement with language used by UNC Faculty Assembly.

#### **New language: 7.2.9 Faculty Governance Committee**

The Faculty [Governance](#) Committee:

- (a) [monitors matters pertaining to faculty governance on the campus;](#)
- (b) [monitors the formal structures of faculty governance and recommends changes that will improve the functioning of those structures;](#)
- (c) maintains oversight of changes to the Faculty Handbook proposed by the Faculty Senate and approved or modified by the chancellor or the provost and executive vice chancellor;
- d) recommends to the senate changes to the Faculty Handbook that will improve clarity, accuracy, and provide updated information;
- (e) works with the provost and executive vice chancellor, the chancellor, and the Board of Trustees to ensure progress regarding any proposed change;
- (f) works with those responsible for publishing the Faculty Handbook to make sure it is widely and easily available to faculty;

- (g) monitors, as well as advises and informs the senate regarding all proposals for changes in the Faculty Handbook;
- (h) the composition of the committee includes the chair and vice chair of the Faculty Senate, the immediate past senate chair if he/she continues to be employed by the University, or a past senate chair who continues to be employed by the University who is willing to serve, and two or more additional faculty members at the Chair's discretion. The provost and executive vice chancellor (or designated representative) and a representative from the Council of Chairs shall serve as ex-officio, non-voting members;
- (i) The chair of the committee shall be the chair of the Faculty Senate.

**7.2.10 Faculty Assembly Committee** – Approved by Faculty Senate on December 9, 2013.

**Explanation:** The effect of this addition is to make delegates to the UNC Faculty Assembly Faculty Senate members. Previously the delegates were elected at large from the faculty. The new language insures that there will be better communication between the delegates and Faculty Senate.

**New language: 7.2.10 Faculty Assembly Committee**

**Representation in the Faculty Assembly** is apportioned among the constituent institutions of the University of North Carolina according to the number of full-time equivalent faculty positions allocated to each institution. Thus, Appalachian is currently apportioned four delegates to the Assembly. The Chair of the Senate serves as head of Appalachian's delegation to the Assembly, with the Vice Chair of the Senate serving as his/her alternate.

**7.2.10.1 The Faculty Assembly Committee** consists of 3 delegates and 1 alternate. The alternate will attend the meetings in the event that one of the delegates cannot attend. Those wishing to become delegates to the Faculty Assembly submit their names during the process in which Senate committee assignments are made. The term is for 1 year, but Senators may have their service on the committee renewed. Should there be fewer than 4 members of the Senate able to serve on the Faculty Assembly Committee, the Committee on Committees will make recommendations to the Senate from the faculty for committee members and/or an alternate.

**7.2.10.2 It is the responsibility of the delegates to the Faculty Assembly** to represent the interests of the Appalachian faculty to the Faculty Assembly, the President of the University of North Carolina, and the General Administration. Further, the delegates serve as a conduit for information from the Faculty Assembly and the General Administration to the faculty at Appalachian.

**The longest serving member of the delegation** (other than the Faculty Senate chair) will make a presentation to the Senate summarizing the Faculty Assembly agenda and any items requiring action at the first Senate meeting following a meeting of the Assembly.

**7.2.10.3 In the event that a Faculty Assembly delegate must vacate the office**, the Senate's Committee on Committees will make a recommendation to the Senate for a replacement to serve the remaining time in the delegate's term. Preference will be given to sitting Senators.

**7.3.4.6 General Education Council**– Approved by Faculty Senate on January 13, 2014.

**Explanation:** This section was updated by removing the description of the Core Curriculum Committee, which is obsolete, and adding language that described the new General Education Council.

**New language:** **Faculty Handbook Section 7.3.4.6 General Education Council** (replaces existing section on Core Curriculum)

- (a) The General Education Council is responsible for overseeing the General Education Program, including but not limited to: establishing criteria for course inclusion in the various components of the general education curriculum, approving all general education credit for courses, approving plans and reports for General Education program assessment, and developing and approving policies related to the structure and management of the General Education Program.
- (b) Notification. Agendas and minutes for the meeting of the General Education Council will be sent to the entire faculty at least 6 days prior to scheduled meetings. This requirement may be waived in exceptional circumstances.
- (c) Council Membership. Membership on the Council is divided into voting and non-voting members. Voting Members on Council: 2 undergraduate students and 19 faculty (Chairs of the following Faculty Coordinating Committees: Fine Arts, First Year Seminar, Historical Studies, Integrative Learning Experience, Liberal Studies Experience, Literary Studies, Quantitative Literacy, Science Inquiry, Social Science, and Wellness Literacy; one at-large delegate from each undergraduate degree-granting college (Arts and Sciences, Business, Health Sciences, Education, Fine and Applied Arts, and Music) to be filled by elections in the respective colleges for three year terms; one representative from the Library; Director of Writing Across the Curriculum; and the Director of General Education, who will serve as Chair of the Council.) The Director of General Education and the Faculty Coordinator of First Year Seminar are appointed positions. All subcommittee Chairs, with the exception of the Faculty Coordinator of First Year Seminar, will be elected by the Committee members. The Faculty Coordinator of First Year Seminar is the permanent non-voting chair of this subcommittee. Faculty Coordinating Committee members are appointed for three year staggered terms by the Faculty Senate. Members will be chosen for their disciplinary expertise and with concern for representation across departments and colleges. Non-voting members on the Council: Vice Provost for Undergraduate Education and liaisons from University College Academic Advising, Registrar’s Office, and Institutional Research and Planning, and a member of the Faculty Senate.
- (d) Report to: Vice Provost for Undergraduate Education.