

Faculty Handbook
Revisions for 2016-2017

Prepared for Provost and Executive Vice Chancellor
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Black = Existing *Handbook* language

Blue = Proposed New *Handbook* language

Red = Notes

Faculty Handbook **Revisions for 2016**

The following recommended Faculty Handbook revisions are the result of actions by the Faculty Senate and approvals by the Provost during the academic year 2015-2016.

Item 1: 3.4 Primacy of Academic Governance over Academic Curriculum and Instruction

3.4.2 Primacy of Academic Governance over Academic Curriculum and Instruction – Approved by Faculty Senate on April 11, 2016

Explanation: New language to reflect changes to the Academic Governance Handbook.

3.4.2 Recommendations for changes in general academic policies or academic programs must be submitted to the Undergraduate Academic Policies and Procedures Committee and/or the Graduate Academic Policies and Procedures Committee by any of the following:

- a. Department, [program](#), college or school
- b. Faculty Senate
- c. Student Government Association
- d. [Graduate Student Association Senate](#)
- e. Council of Deans
- f. [Council of Chairs](#)

Item 2: 3.12 Emeritus Status

3.12 Emeritus Status – Approved by Faculty Senate on March 14, 2016

Explanation: Language was included to allow faculty who resign due to a long-term disability to be eligible for nomination to Emeritus status.

3.12 Emeritus Status

Emeritus faculty status may be awarded to honor a faculty member who [is retired or resigns due to a long-term disability](#) and has had a distinguished professional career and has made significant contributions to Appalachian State University. Successful candidates for consideration to the emeritus rank will have:

- (1) permanent tenure and at least ten years of full-time employment at Appalachian State University prior to retirement/[long-term disability resignation](#). The emeritus rank is that held at retirement/[long-term disability resignation](#); and
- (2) a consistent record of quality performance as demonstrated by one or more of the following:

- (a) a substantive record of scholarly achievement commensurate with national and international standards within the specific discipline;
- (b) a recognized record of outstanding teaching and educational contributions; and
- (c) evidence of significant service to the University and to the respective discipline.

3.12.1 Emeritus Status Procedure

The candidate initiates application for emeritus status no later than September 15 in the year of consideration. A letter will be submitted to the departmental promotion and tenure committee with supporting documentation including a comprehensive curriculum vitae and record of the faculty member’s achievement and contribution to the University and the appropriate discipline. The committee will review the application and make approval, or non-approval, as provided for other personnel decisions to the department chair.

The department chair will forward his/her recommendation, with the supporting materials, to the appropriate dean. The dean will forward his/her recommendation, with the supporting materials, to the provost and executive vice chancellor by December 15. The provost and executive vice chancellor, after his/her review will forward his/her recommendation as well as the recommendations of the other reviewing individuals/bodies to the chancellor by February 15. Upon approval of the chancellor, the provost and executive vice chancellor will submit the candidate’s documentation to the Academic Affairs Committee of the Board of Trustees for consideration at the spring semester meeting. Candidates whose emeritus rank has been approved by the Board of Trustees are notified promptly. The chancellor will confer the rank during the August annual meeting of the University. A letter of commendation and an emeritus faculty medallion shall accompany the emeritus faculty designation from the chancellor upon official notice of the faculty member’s full retirement/[long-term disability resignation](#) from the University, i.e., at the end of any phased retirement service period, upon immediate, full retirement, [or upon documentation of resignation due to long-term disability](#).

Item 3: Correction of typographical error in 3.13

3.13 Special Faculty Appointments – 3.13.2 – Approved by Faculty Senate on March 14, 2016
Explanation: Corrected typo (Article I to Article II of the Faculty Constitution) in 3.13.2.

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

Item 4: Clarification of Functions of Departmental Personnel Committees

Section: 4.1.3 Functions of Departmental Personnel Committees – Approved by Faculty Senate on March 14, 2016

Explanation: Clarified language referring to non-tenure eligible positions and to types of recommendations.

4.1.3.1a reviewing the credentials of all applicants for new or vacant **non-tenure eligible** positions including special faculty appointments, interviewing selected candidates, and making a recommendation to the chair of two or more qualified persons to fill the position (except in the case of special faculty appointments or when circumstances make only one candidate acceptable), and through the chair to the dean and the Provost and Executive Vice chancellor. The personnel committee may or may not submit nominations in rank order of preference. Search committees may be established to assist or supplant the departmental personnel committee in performance of these functions (see SEARCH COMMITTEE section 4.1.9). Each member of a search committee shall be subject to the same confidentiality obligations that apply to departmental personnel committees.

4.1.3.1b reviewing all **non-tenure eligible and** special faculty (see sections 3.13-14) and making recommendations regarding appointments, **reappointments and promotions**. The committee shall make a recommendation to the chair, who in turn shall make a recommendation to the dean; the dean will make a recommendation to the Provost and Executive Vice Chancellor and make known to the Provost and Executive Vice Chancellor the recommendation of the chair concerning the future employment of such faculty. The recommendations described above shall be accompanied by the results of the departmental personnel committee's vote, supporting material, and all documents submitted to the committee.

Item 5: 4.1.6 Composition of Departmental Promotion and Tenure Committees

4.1.6 Composition of Departmental Promotion and Tenure Committees – Approved by Faculty Senate on March 2, 2015

Explanation: Addition of 4.1.6.4 clarifying that tenured faculty members on OCSA or FMLA may serve on PTC.

4.1.6.4 – Tenured faculty members on OCSA or Family and Medical Leave are not required to serve on the PTC while on full paid or unpaid leave (6.2.3.3). However, they are eligible to serve should they decide to do so.

Item 6: 4.1.9 Search Committees

4.1.9 Search Committees – Approved by Faculty Senate on March 14, 2016

Explanation: Added clarification on regulations and functions of search committees.

4.1.9.1 The composition, functions and procedures of search committees for tenure track faculty as outlined in this section of the *Faculty Handbook* are the official guidelines for these committees and must be followed in all cases (NOTE: The departmental personnel committee reviews the credentials of all applicants for new or vacant special faculty appointments set forth in Section 4.1.3.1. Departmental Chair Search Committees are governed by Section 4.13.4) The provost and executive vice chancellor shall be responsible for seeking interpretations of any relevant regulations or policies. (See 4.13.4 for information on Departmental Chair Search Committees.) In accordance with the guidelines outlined here, departments shall establish a standard method for creating search committees. Each department shall determine the size and membership of the committees. In all cases, no reviewing group or persons may substitute their judgment for that of a search committee on matters relating to the professional qualifications of the individual involved, i.e., the individual's ability to fulfill adequately the professional requirements of the position. In cases where search committees make recommendations to hire a candidate for a **tenure track open-ranked** position the departmental promotion and tenure committee shall determine the candidate's recommended rank. If this is a joint appointment, at this time the "base" departmental unit of the faculty member must be determined in order for the base department's promotion and tenure committee to determine the candidate's recommended rank (see section 3.10).

4.1.9.2 Functions of Search Committees

The search committee is responsible for reviewing ASU Policy Manual 601.8 "Hiring of EHRA Employees," as this policy may be amended from time to time. After the department has determined the general responsibilities for a faculty vacancy, the search committee shall prepare or review the job announcement, which contains minimum and preferred qualifications and shall develop selection criteria based on the position requirements. In accordance with ASU PM 601.8, the search committee shall oversee all aspects of advertising the position and receiving applications; review all applications; conduct reference checks and preliminary interviews; and schedule and conduct on-campus interviews. Whenever possible, the search committee shall recommend at least two candidates for hire and may provide a ranked list of the candidates. Confidentiality shall be maintained throughout the search process, including, but not limited to, the identity of applicants, submitted application materials, reference checks, interviews, committee discussions and deliberations, short list determinations, and final offers. Information gathered during the search process shall not be shared with others in the department or unit who do not serve on the search committee without written permission from the applicants. Search committee members should not engage in discussions about the applicants or the submitted application materials outside the confines of a search committee meeting which is "the only legally-privileged

setting for discussion of confidential information related to a search". (Quoted from ASU PM 601.8 section 4.5.3.)

4.1.9.3.a All meetings of search committees, [involving deliberation](#), shall be held [face-to-face or by appropriately secure digital communication](#) on campus. Every member of an academic department must be notified in writing of all meetings and agenda items of the search committee. The announcement should clearly state the time and place of the meeting and it should become a part of the search committee's records. All department members who so desire may present their views before the committee. (Present 4.1.9.2)

4.1.9.3.b The minutes of the search committee should record all persons in attendance at the meeting and all members absent. A record should be kept of each personnel action considered; however, this should not include individual comments. [All personnel actions shall be determined by anonymous paper ballot votes](#). The written record should state that the search committee formally considered the personnel action. The minutes should show the vote (the number of affirmative and negative votes) on each action, but not the votes of individual members of the committee. [All motions must be phrased in the affirmative](#). (Present 4.1.9.3)

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

4.1.9.3.d [A file of all minutes of the search committee shall be maintained with the search committee file \(see ASU Policy Manual 601.8, Section 4.10.\)](#) In addition, the paper ballots for each vote should be kept in sealed, labeled and dated envelopes with the search committee file. Nothing in these guidelines shall violate the confidentiality of the search committee minutes. (Present 4.1.9.5).

Item 7: Change to Submission of the Portfolio for Tenure and/or Promotion

4.4.8 Submission of the Portfolio for Tenure and/or Promotion – Approved by Faculty Senate on March 14, 2016.

Explanation: The change was made to clarify that vote justification forms are to be included with recommendations sent forward to the Office of the Provost.

4.4.8 The dean of the college/school shall forward his or her recommendation (with reasons for that recommendation) with the dossier, [including any vote justification forms](#), to the provost and executive vice chancellor. The faculty member shall get a copy of this letter at the time the dossier is forwarded to the provost and executive vice chancellor.

Item 8: 6.2.3 Other Adjustments of Employment Obligations

6.2.3.4 (Independent Study) and **6.2.3.5** (Individual Study) – Approved by Faculty Senate on April 11, 2016

Explanation: Addition of new language – moved this language from the Academic Governance Handbook to the Faculty Handbook.

6.2.3.4 Independent study

Independent study is the term applied to the study of a subject not listed in the regular curricular offerings. Under the independent study program, a student designs a project and then individually pursues the study under the auspices of qualified faculty member who serves as a consultant for the student during the course of the study. The student must be either degree seeking, working toward teacher licensure or have special permission from the dean. In all cases, permission from the departmental chair (in which the course is offered) will need to be secured. The vehicles for this are course numbers 2500, 3500, 4500, 5500, 6500 and 7500 depending on the level of the student. For information on independent study, students should consult the chair of the department in which the independent study is to be done.

Each student seeking approval for an independent study will petition the appropriate faculty member and seek their consent to supervise the independent study, typically through an oral prospectus. If the faculty member agrees to supervise the student, a written prospectus will be drawn up by the student and presented to the departmental chair. If the chair approves, she/he will determine the amount of credit and authorize the registration for the independent study. The dean of the college involved must endorse the chair's authorization. Registration for the course will be done during the registration period, and grades will be reported in the regular way at the end of the semester in which the project is completed.

The faculty member who supervises an independent study receives teaching hour credit on the following basis: for each semester hour of undergraduate independent study supervised by a faculty member, the faculty member will receive one-twelfth teaching hour credit; for each semester hour of graduate independent study supervised by a faculty member, the faculty member will receive one-sixth teaching hour credit.

The departmental chair will maintain a record of the work done by faculty members in the chair's department in supervising students in this category and when the faculty member has accumulated sufficient credits for a teaching load reduction, such a reduction will be given in some term of the regular academic year. It must be understood that the needs of students come first, and it may not always be possible to arrange for the reduced load in the term which the faculty member requests it. Also, it must be understood that the reduction in load can only be claimed during one of the regular terms of the academic year and cannot be claimed during the summer term.

With the approval of the instructor, the departmental chair, the dean of the college, and the Dean of Graduate Studies and Research, graduate students who have been admitted to candidacy and who have filed their Program of Study may register for independent study in their major field.

Students registered for independent study must be scheduled for regular conference periods at least weekly. No more than six semester hours of independent study may be applied toward a graduate degree, and no more than twenty-five percent of the student's degree program may be taken in a combination of selected topics and independent studies.

6.2.3.5 Individual study

Individual study is the pursuit of a regularly listed course by a student without attending classes on a regular basis. The student must be either degree seeking, working toward teacher licensure or have special permission from the dean. In all cases, permission from the departmental chair (in which the course is offered) will need to be secured. The student seeking approval for an individual study will petition the appropriate faculty member and seek their consent to supervise the individual study, typically through an oral prospectus. If the faculty member agrees to supervise the student, the student and faculty member will work out the method of study, then permission from the departmental chair is secured. The grade for the course will be submitted to the Registrar in the regular way at the end of the semester in which the project is completed.

The usual limitations on academic load apply to the student's total load, including the load in regular classes and work taken individually.

If a faculty member supervises a student in individual study of a course at a time when the faculty member is teaching that course as a part of her/his regular assignment, then the faculty member will receive one-twenty-fourth teaching hour credit for that supervision. If a faculty member supervises a student in individual study of a course at a time when she or he is not teaching that course, then for each semester hour of individual study supervised by the faculty member, the faculty member will receive one-twelfth teaching hour credit.

The departmental chair will maintain a record of the work done by the faculty members in the chair's department in supervising students in this category and when the faculty member has accumulated sufficient credits for a teaching load reduction, such a reduction will be given during one term of the regular academic year. It must be understood that the needs of the student come first, and it may not always be possible to arrange for the reduced load in the semester in which the faculty member requests it. Also, it must be understood that the reduction in load can only be claimed during one of the regular semesters of the academic year and cannot be claimed during the summer term.

Item 9: 6.12 Final Grades

6.12.1.1 Grade Reporting and 6.12.2 Changing Grades– Approved by Faculty Senate on April 11, 2016

Explanation: 6.12.1.1 contains new language that was taken from the Academic Governance Handbook, and 6.12.2 is a title change from Changing Grades to Grade Changes

6.12.1.1 Grade Reporting (Faculty Absence/Incapacitation)

In all circumstances, except those stipulated below, the grades recorded shall be those assigned by the faculty member (instructor of record). Any action taken by the university to withhold transcripts for any reason shall not involve any changes in the recorded grade.

In the event that a faculty member has not turned in a grade or grades on time, and if the faculty member cannot be located, an interim grade of "NR" (Grade Not Reported) will be assigned by the Registrar's Office. If a graduating student is involved, the departmental chair may, with the concurrence of two other departmental faculty members, assign a grade.

In the event that a faculty member becomes incapacitated prior to the time grades should have been assigned, the departmental chair, along with two other departmental faculty members, shall jointly decide the action to be taken.

6.12.2 Grade Changes

Faculty members should exercise extreme care in evaluating students and in reporting grades. A faculty member must secure the form for changing a grade in the departmental office. All grade changes are subject to review by the dean of the college/school. A legitimate reason for all grade changes is required. Except for changes for I (incomplete), the only permissible reason for a grade change is an error on the part of the faculty member in computing or in reporting the student's grade.

Item 10: Changes to Admissions Committee Faculty Handbook Section 7.3.4.2

7.3.4.2 Admissions Committee – Approved by Faculty Senate on November 9, 2015

Explanation: This section was amended to exclude University College from the Admissions Committee due to reorganization.

7.3.4.2 Admissions Committee

(a) Members on Committee: 13 members consisting of 7 faculty, with one representing the School of Music and with representation from at least three of the following colleges and schools: Arts & Sciences, Fine & Applied Arts, Business, Education, Health Sciences, Honors College; 3 staff representatives, one from each of the following units: Learning Assistance Program Student Athlete

Services, Office of Disability Services, Student Development; and, 3 undergraduate students. The Associate Vice Chancellor for Enrollment Management and the Director of Admissions shall serve as ex officio non-voting members. The Associate Vice Chancellor for Enrollment Management will convene the first meeting and facilitate the selection of a chair, or co-chairs, from among the voting members of the committee.

(b) Report to: The provost and executive vice chancellor for policy recommendations and the Director of Admissions for appeals recommendations.

(c) Areas of Responsibility: Establish and verify implementation of the policies governing admissions of undergraduate students. Functioning as a sub-committee of the Admissions Committee, the Admissions Review Committee serves as an appeals board for admission cases. This sub-committee includes the faculty and staff of the Admissions Committee, plus the Senior Associate Director of Admissions who will cast a vote in case of a tie.

Item 11: Changes to the Awards Committee

7.3.4.4 Awards Committee – Approved by Faculty Senate on March 14, 2016

Explanation: This section has been amended to exclude University College from committees and councils due to reorganization.

7.3.4.4 Awards Committee

Members on Committee: 19–15 faculty (3 from Arts and Sciences, 2 from Business, 2 from Education, 2 from Fine and Applied Arts, 2 from Music, 2 from College of Health Sciences, and 2 from the Library); 2 staff; and 2 students (one undergraduate and one graduate). Faculty composition can be any faculty, including adjunct and part-time. In the event a member of the committee wishes to seek an award, an alternate from her/his area will be recommended to the Faculty Senate by the Committee on Committees to serve for the duration of the awards process. The chair of the Faculty Senate or his/her designee, will convene the first meeting and facilitate the selection of a chair, or co-chairs, from among the voting members of the committee;

Item 12: Graduate Academic Policies and Procedures Committee

7.3.4.8 Graduate Academic Policies and Procedures Committee – Approved by Faculty Senate on March 14, 2016

Explanation: Additional language was included to ensure that proper approvals were received at the department and college level before submitting proposals to the Graduate Academic Policies and Procedures Committee.

7.3.4.8 Graduate Academic Policies and Procedures Committee

- (a) All proposals originate within the program and are approved by both the department and the college review committee prior to submission to the Graduate Academic Policies and Procedures Committee.

Item 13: University Scholarships Selection Committee

7.3.4.16 University Scholarships Selection Committee – Approved by Faculty Senate on April 11, 2016

Explanation: This committee has been reorganized to ensure adequate representation of faculty across the colleges.

University Scholarships Selection Committee (USSC)

Members on Committee: 22 members consisting of 14 faculty (at least two from each of the five degree-granting colleges and at least one each from the School of Music and the Library), 4 staff (engaged in student development) and 4 graduate students. Each member will serve a three-year term. The Director of University Scholarships shall serve as ex officio non-voting member. The Associate Vice Chancellor for Enrollment Management will convene the first meeting and facilitate the selection of a chair, or co-chairs, from among the voting members of the committee. The committee reports to the Provost and Executive Vice Chancellor

Areas of Responsibility: Define assessment criteria, review scholarship applications and identify award recipients for selected academic scholarships administered by the office of the Associate Vice Chancellor for Enrollment Management.

Item 14: Tuition Appeals Committee

7.3.4.13 Tuition Appeals Committee – Approved by Faculty Senate on April 11, 2016

Explanation: This committee’s responsibility has been restructured to cover both appeals for tuition surcharge and refunds. The committee has expanded to include a greater number of faculty.

Tuition Appeals Committee

Members on Committee: 7 members consisting of 4 faculty and 3 staff. The four faculty shall represent four different colleges. The three staff shall represent the Learning Assistance Program, Office of Financial Aid, and Office of Transfer Services. The Registrar and University Treasurer shall serve as ex-officio members. The Associate Vice Chancellor for Enrollment Management and Associate Vice Chancellor for Business Affairs will convene the first meeting and facilitate the selection of a chair, or co-chairs, from among the voting members of the committee. The committee reports to the Provost and Executive Vice Chancellor.

Areas of Responsibility: Review and make decisions on appeals for tuition surcharge and tuition and fee refunds based upon evidence of “Other extraordinary hardship—“Hardship of any kind which, despite responsible handling, resulted in the substantial disruption or interruption of the student’s pursuit of a degree.

Item 15: Changes to the University Research Council

7.5.21.3 University Research Council – Approved by Faculty Senate on March 14, 2016

Explanation: This section has been amended to exclude University College from committees and councils due to reorganization.

7.5.21.3 The elected members of the University Research Council shall be composed of **twelve (12)** faculty members:

College of Arts and Sciences: one Arts and Humanities member, one Social Sciences member, and one STEM member;

College of Business: one member;

College of Education: two members representing different departments;

College of Fine and Applied Arts: two members representing different departments;

College of Health Sciences: two members representing different departments;

School of Music: one member;

University Library: one member.

Item 16: Changes to the Intellectual Property Development Advisory Council

7.5.23 Intellectual Property Development Advisory Council – Approved by Faculty Senate on March 14, 2016

Explanation: This section has been amended to exclude University College from committees and councils due to reorganization.

7.5.23 Intellectual Property Development Advisory Council

- (a) Members on Council: 11-13 – **Seven** faculty will be recommended by the appropriate deans and will be appointed by the provost and executive vice chancellor as follows: one (1) faculty representative from each of the following University entities: College of Arts and Sciences, Walker College of Business, Reich College of Education, College of Fine and Applied Arts, Hayes School of Music, College of Health Sciences, and Belk Library and Information Commons. The Faculty Senate will appoint one additional voting member. All faculty will be voting members and will serve 3-year terms. One (1) representative each from Research and Graduate Studies and the Small Business and Technology Development Center will be voting members. A representative from the Office of General Counsel will advise the council upon request. The provost and executive vice chancellor may at her/his discretion appoint up to three (3) additional non-voting members, which may include non-ASU affiliated individuals. All members should be appointed based on her/his area of expertise and commitment to furthering the intellectual property development efforts of both the faculty and University;

Item 17: Name change from Academic Governance Manual to AP&P Manual

2.5 The Provost and Executive Vice Chancellor – Approved by Faculty Senate on April 23, 2016

Explanation: Name change from Academic Governance Manual to AP&P Manual.

2.5 The Provost and Executive Vice Chancellor

- (d) coordinating and supervising the publication of such documents as the University bulletins and companion bulletins, the *Faculty Handbook*, the *AP&P Manual*, and the schedules of classes and examinations.

6.15 Other Academic Policies and Procedures – Approved by Faculty Senate on April 23, 2016

Explanation: Name change from Academic Governance Manual to AP&P Manual.

6.15 Other Academic Policies and Procedures

For information on academic policies and procedures not covered in this document, refer to the [AP&P Manual](#); the *Undergraduate Bulletin*; the *Graduate Bulletin*; the *Appalachian State University Code of Student Conduct and Academic Integrity*; and other appropriate university publications.