

Academic Personnel Procedures Handbook

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<http://provost.uncc.edu/epa/handbook.htm>

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V. Faculty Appointment Process

http://provost.uncc.edu/epa/handbook/chapter_V.htm

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D. Appointment of Instructors, Tenured and Tenure-Track Faculty

Appointments of instructors, tenured and tenure-track faculty members are made in accordance with Sections 3.2, 4 and 4.4 of the Tenure Document. In addition, Section 3.5 applies to dual appointments and joint appointments. The general procedures for these appointments, followed by the procedures for appointment specific to each rank, are described below. For more information on joint appointments, please refer to the Policy Statement on Joint Appointments for Faculty.

Joint Appointments. Every faculty member holding a joint appointment must have a "home" or "primary" unit which is her/his primary appointment. This home unit must be a college or academic department. In any given year the percent of his/her time committed to the primary department may be less than 50%; however, the home unit once designated does not change unless the joint appointment is renegotiated.

Comment [1]: General Principle 1 of App. F.

Recommendations for Initial Appointment. The recommendations for these appointments are prepared by the department chair and submitted to the dean on a *Recommendation for Initial Appointment: Tenured and Tenure-Track Faculty (Form AA-05)* with attachments: vitae, letters of recommendation, graduate transcript(s) (must be mailed directly to the University), PD-7 (and Visa Documentation, if required), and other pertinent documentation.

Offers of Appointment/Appointment Agreements. The Dean/Provost is responsible for issuing offers of appointment to candidates by executing an Appointment Agreement containing the terms and conditions of employment, including rank/title, salary, term of appointment, and other terms and conditions of appointment (if any).

Agreements for Joint Appointments. When a joint appointment is made, the salary of the faculty member is apportioned to the primary and secondary units according to an agreement worked out on an individual basis. Once this appointment is made, it is not subject to change unless the joint appointment is renegotiated with the Provost. This appointment continues in effect for as long as the person is employed by the University unless otherwise specified in the letter of agreement. The primary unit designation is not altered by subsequent changes in the distribution of salary.

Comment [2]: General Principle 2 of App. F.

At the time of the joint appointment, a letter of agreement must be entered into by the faculty member and the University that specifies faculty duties and responsibilities to the primary and secondary units (including voting privileges and committee service expectations) in faculty evaluations and other unit or faculty governance matters.

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Support and Services. The letter of agreement signed by the faculty member and the University should specify how support such as computer hardware and software, travel funds, and office space will be supplied.

Comment [3]: Edited from General Principle 3 of App. F.

Comment [4]: The **Support and Services** section of App. F.

Accepted Appointments. When an appointment agreement is signed indicating that an offer of appointment is accepted, the Dean is responsible for certifying that the appointment file is complete, forwarding the completed file to the Office of Academic Affairs, and providing a written record of the verification of the appointee's credentials. The completed file includes: (1) recruitment plan (with attachments); (2) authorization to interview candidates and report of recruitment results (with attachments); (3) recommendation for initial appointment (with attachments); (4) waiver of search requirement (if any); (5) offer of appointment and appointment agreement; (6) vitae, (7) original criminal background check disclosure form and, (8) the written record of the verification of credentials is added to the file with the original transcript. Official transcript must be mailed directly to the University.

Procedures for Appointment Specific to Each Rank. In addition to the general procedures described above, there are procedures for appointment specific to each rank.

Instructors. The Deans have complete administrative authority to make appointments at the rank of Instructor according to the general procedures described above.

Assistant Professor. The Deans have complete administrative authority to make appointments at the rank of assistant professor according to the general procedures described above.

Associate Professor. The Deans have complete administrative authority to approve recruitments and interviews and to make recommendations to the Provost for appointments to the rank of associate professor, with or without conferral of permanent tenure. The Provost, in consultation with the Chancellor, is responsible for issuing offers of appointment that specify an appointment to the rank of associate professor without tenure. If the appointment of associate professor is with tenure, that appointment is contingent upon approval by the Board of Trustees. The Office of Academic Affairs is responsible for preparing the materials to submit the recommendations to the Board of Trustees.

Professor. The Deans have complete administrative authority to approve recruitments and interviews and to make recommendations to the Provost for appointments to the rank of professor, with or without conferral of permanent tenure. The Provost, in consultation with the Chancellor, is responsible for issuing offers of appointment that specify an appointment to the rank of professor without tenure. If the appointment of professor is with tenure, that appointment is contingent upon approval by the Board of Trustees. The Office of Academic Affairs is responsible for preparing the materials to submit the recommendations to the Board of Trustees.

E. Appointment of Special Faculty

Appointments of special faculty members are made in accordance with Section 3.4 of the Tenure Document. In addition, Section 3.5 applies to dual appointments and joint appointments.

The Deans have complete administrative authority to make special faculty appointments.

Recommendations for Initial Appointment. The recommendations for these appointments are prepared by the department chair and submitted to the dean on a Recommendation for Initial Appointment: Special Faculty (Form AA-06) with attachments: vitae, letters of recommendation, PD-7, and other pertinent documentation.

Offers of Appointment/Appointment Agreements. The Dean is responsible for issuing offers of appointment to candidates and executing an Appointment Agreement including rank/title/salary, term of appointment, and other terms and conditions of appointment (if any).

Accepted Appointments. When an offer of appointment is accepted and the appointment agreement is signed, the Dean is responsible for certifying that the appointment file is complete, forwarding the completed file to the Office of Academic Affairs, and providing a written record of the verification of the appointee's credentials. The completed file includes: (1) recruitment plan (with attachments); (2) authorization to interview candidates and report of recruitment results (with attachments); (3) recommendation for initial appointment (with attachments); (4) waiver of search requirement (if any); (5) offer of appointment and appointment agreement; (6) vitae, (7) original criminal background check disclosure form, and (8) the written record of the verification of credentials (Form AA-34) is added to the file with the original transcript. Official transcript must be mailed directly to the University.

F. Offers of Appointment/Appointment Agreements

Offers of appointment are issued in the form of an Appointment Agreement signed by the Dean or the Provost and accompanied by a cordial letter of invitation to join the faculty of the University of North Carolina at Charlotte. (Appointment Agreements for each rank are included in the section on Forms.)

Instructors, Assistant Professors, and Special (Non-Tenure Track) Faculty Members. Deans are responsible for issuing offers of appointment and executing Appointment Agreements containing the terms and conditions of employment (rank/title, salary, term of appointment, and any other terms and conditions) for Instructors, Assistant Professors, and special (non-tenure track) faculty members.

Associate Professor and Professor. The Provost is responsible for issuing offers of appointment and executing Appointment Agreements containing the terms and conditions of employment (rank/title, term of appointment/tenure status, salary, and any other terms and conditions) for Associate Professors and Professors without tenure. Offers of appointment to these ranks with tenure must specify that the appointment is contingent upon review and approval by the Board of Trustees.

A summary of approvals required for faculty appointments is listed below.

Approvals Required for Faculty Appointments

Approval Rank/Term	Approvals Required			
	Dean	Provost	Chancellor	Board of Trustees
Instructor (1 Year)	X			
Assistant Professor (4 years)	X			
Associate Professor (3-5 years)	X	X		
Associate Professor (with tenure)	X	X	X	X
Professor (3-5 years)	X	X		
Professor (with tenure)	X	X	X	X
Special Faculty	X			
Part-time	X			

VI. Academic Personnel Review Process

http://provost.unc.edu/epa/handbook/chapter_VI.htm

The performance of all academic personnel is reviewed and evaluated regularly to guide and support faculty development and to form the basis for academic personnel decisions including salary adjustment, reappointment, promotion, and conferral of permanent tenure. Guidelines and procedures for these reviews are summarized below.

A. Review of Teaching

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Teaching is the primary responsibility of The University of North Carolina and each of its constituent institutions. To ensure that this responsibility is understood and appropriately considered in faculty personnel decisions, the Board of Governors (Administrative Memorandum #338) mandates each constituent institution to have policies and procedures that require:

1. Clear and specific statements of criteria for evaluation of faculty performance at every level (institution, college, department) that are provided in writing and discussed with each probationary faculty member before initial employment and at the beginning of the first term of employment and with each candidate being reviewed for reappointment or tenure at the beginning of the year in which the review is scheduled to be made;
2. A record of these discussions to be kept in the individual's personnel file; and
3. Review procedures for the evaluation of faculty performance to ensure that:
 - a. Student evaluations and formal methods of peer review are included in teaching evaluation procedures;
 - b. Student evaluations are conducted at regular intervals (at least one semester each year) and on an ongoing basis;
 - c. Peer review of faculty includes direct observation of the classroom teaching of new and non-tenured faculty and of graduate teaching assistants; and
 - d. Appropriate and timely feedback from evaluations of performance is provided to those persons being reviewed.

To support its mission to provide informed and effective teaching, UNC Charlotte regularly evaluates the teaching of all members of the faculty. Faculty members use the results of these ongoing evaluations to improve their courses and instruction. The results of the evaluations conducted during the year are considered during the annual review, and the evaluations conducted since a faculty member's last comprehensive review are considered during the next comprehensive review, e.g., a review for reappointment, promotion, and/or conferral of permanent tenure.

Student Evaluations of Teaching. It is expected that students will be provided an opportunity to evaluate their courses and instructors at the end of each term. Although departments and colleges may require more frequent evaluation, the Office of the Provost expects each faculty member to be evaluated at least once per year in each of the different courses (not sections) that he or she has taught.

Peer Review of Teaching. Each department and college has established policies and procedures for the peer review of teaching in their unit. The procedures must satisfy the requirements of Administrative Memorandum #338 for peer review of the teaching of new and non-tenured faculty and graduate teaching assistants. Departments and colleges are strongly encouraged to provide for peer review of teaching for all members of the faculty.

Teaching Portfolio. A teaching portfolio, including samples of course and instructional materials, teaching evaluations and self-assessments, results of experiments with new instructional technologies, and other materials about successes, failures, and efforts to improve teaching, can be an invaluable tool for faculty development and a useful component of other review processes. The department and/or college may provide guidance for the development of the teaching portfolio and its use.

B. Annual Review

Procedures for the Annual Review of Members of the Faculty. Each department and college is expected to establish guidelines and procedures for the annual evaluation of all members of the faculty that are consistent with, and may be more extensive than, the following procedures for the annual

evaluation of tenured and tenure-track members of the faculty that were established by the Faculty Council.

1. The job performance of every tenured and tenure-track faculty member will be evaluated each year. This evaluation will be undertaken by each department chair under departmental criteria and procedures. This evaluation process is a minimum requirement, it shall not supplant more extensive departmental procedures.
2. This review will always include an evaluation of teaching, scholarly work, and service. Each department will develop and apply guidelines for evaluating teaching, scholarly work, and service.
3. The annual evaluation shall be as follows:
 - a. For non-tenured, tenure-track faculty members, an annual evaluation conference shall be held prior to May 1 of every year. The chair shall discuss the faculty member's strengths and weaknesses in the areas of teaching, scholarly activity, and service. Prior to the conference, the chair shall prepare and forward a "draft" evaluation to each faculty member. Tenured faculty members will receive a copy of the "draft" evaluation, but will not have a conference unless a conference is requested by either the faculty member or the department chair.
 - b. After the conference, the department chair shall then prepare a final written evaluation of said faculty member. The final written evaluation shall have a place for the faculty member's signature which would indicate that the evaluation has been seen and discussed. The evaluation, and one copy will then be forwarded to the faculty member. For tenured faculty members who do not have a conference, the draft copy will become the final evaluation.
 - c. The faculty member shall sign the final evaluation acknowledging receipt. The faculty member may state in writing reason for any disagreement that s/he may have with the final evaluation.
 - d. The department chair shall place the annual written evaluation along with any faculty response in the faculty member's personnel files and shall forward the evaluation and the faculty member's response (if any) to the dean of his/her college.
 - e. Unusual circumstances, such as a faculty member on leave, shall be handled by the department.

Guidelines for Conducting Effective Annual Reviews

1. Expectations for performance in each of the areas of evaluation consistent with the mission of the institution, college, department and program must be clearly written and discussed with the faculty member at the time of appointment and reviewed and updated as appropriate as part of the annual review process.
2. The role of peers in the annual review process should be clearly defined in the statement of criteria and procedures established by each department and college.
3. Information to be provided by the faculty member as part of the review process must be clearly defined.
4. The written evaluation prepared by the department chair should clearly and specifically address strengths and weaknesses in the performance of the faculty member, providing for a clean plan and timetable for improvement of any deficiencies in performance. Effective annual evaluations should eliminate "surprises" in the comprehensive reviews pertaining to reappointment, promotion, and conferral of permanent tenure.

Allocation of Merit Increases. During the spring semester, the Office of Academic Affairs sends to all College Deans instructions on how to model the awarding of merit increases to full-time faculty based on anticipated state appropriated increases. Using these instructions as a guide, each College Dean is expected to develop his or her own written guidelines for the allocation of merit increases.

For faculty in joint appointments (whether tenure-eligible or specially appointed), annual review for purposes of salary adjustment will be conducted in the following manner:

1. The faculty member will prepare a report for the primary unit, and a report for each of the secondary units. Each report assesses teaching, scholarship, and service activities relative to that unit according to the format prescribed by that unit.
2. The administrator of each unit will provide his/her dean with assessment and recommendation regarding a salary increase relative to the portion of the salary held in that unit. It is the responsibility of the dean(s) to consider appropriate off-the-top adjustments from the dean's pool(s) and for making recommendations to the provost for additional adjustments.

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3. In the case that the primary and secondary units are in the same college, the dean will arbitrate serious disagreements and in cases in which these units are in different colleges, the deans involved will perform this function to ensure that the mission of the University in terms of interdisciplinary programs is being achieved.

Comment [5]: Edited from the Salary Adjustment section of App. F.

C. Review for Reappointment, Promotion, and Conferral of Permanent Tenure

Policies, Regulations, and Procedures. Reviews for reappointment, promotion, and/or conferral of permanent tenure involve a peer review process conducted according to Section 6 of the "Tenure Policies, Regulations, and Procedures of the University of North Carolina at Charlotte" (Tenure Document), the college and departmental policies, procedures, and criteria that implement them, and the University's Affirmative Action Plan. Each faculty member receives copies of the Tenure Document, college criteria and procedures, and departmental criteria and procedures at the time of initial appointment, and updates and revisions to them as they are made. The Provost establishes a schedule for receiving and acting on recommendations resulting from the department and college peer review processes.

Areas of Performance to be Reviewed. ...

1. Teaching, Advising, Curriculum and Instructional Development

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Effective teaching encompasses a broad range of activities in addition to performance in the classroom, and the weighting of each may differ from case to case. The total performance of the candidate in this area must be evaluated according to established department and college criteria and standards, taking into consideration the types and levels of instructional activities assigned to and expected of the candidate.

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2. Scholarly Research, Creative, and Other Professional Activities

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Engagement in research, scholarship, creative, and other professional activities takes many different forms depending upon the disciplinary or professional affiliation of the faculty member. Likewise, evidence of the productivity of this engagement varies widely from refereed publications to artistic productions to original designs to unique applications of existing knowledge to solve a problem. It is the responsibility of the department to ensure that the candidate and review participants at all levels understand what constitutes appropriate evidence and documentation of productive engagement within the discipline or profession, and the quality and significance of the work.

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3. Service to the University, the Public, and the Profession

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Evaluation of the candidate's performance in this area should consider at least the following:

- a. **Contributions to the Administration and Governance of the University.** ...
- b. **Public Service.** ...
- c. **Service to the Profession.** ... It is the responsibility of the candidate to identify these activities and provide appropriate documentation. It is the responsibility of the department to assess the quality and significance of the contributions and to assist reviewers at all levels to understand the status of these contributions within the professions.

The Review File

Compilation of the materials that will constitute the review file is a shared responsibility of the candidate, the Department Review Committee, the Department Chair, the College Review Committee, and the Dean. The completed file should consist of the following:

Dossier. The candidate for review has the major responsibility for compiling the dossier of his or her professional activities that will form the basis for the review. The department chair may advise and counsel, but it is the candidate's responsibility to provide a full and accurate accounting of the activities to be evaluated in the format specified by the department or college. An up-to-date curriculum vitae must be included and the candidate is encouraged to include a teaching portfolio. The vitae must clearly identify co-authored or collaborative works, those undertaken since the last comprehensive review, and those representing a piece of work that has been disseminated through multiple outlets. As they review

the candidate's dossier, it is the responsibility of the department and college review committees, department chair, and dean to make a written request for any missing or additional information or clarification needed for the review.

Self-Assessment. ...

External Reviews. For cases involving consideration for promotion or conferral of permanent tenure, letters from three or more external reviewers are required. It is the responsibility of the department chair, Department Review Committee, or dean--depending upon established procedures of the department and college--to consult with the candidate to identify a pool of qualified external reviewers to assist with assessment of the quality and significance of the scholarly activity of the candidate. External reviewers also may be asked to comment upon a candidate's teaching or professional service where they have been able to make direct and meaningful observations of the candidate's performance in these areas. It is the responsibility of the candidate only to assist with the identification of a pool of persons appropriately qualified to serve as reviewers. The Department Chair, Department Review Committee, or Dean must select and contact the reviewers, provide representative well-organized materials to be reviewed, give them specific guidelines for the assessment they are asked to provide, and inform them that their review will be available to the candidate. The review file should include a description of the process for selecting the external reviewers, a brief explanation of why each was selected and the nature and extent of any prior personal or professional relationship between the candidate and the reviewer, and the guidelines provided to them. Upon request, these external review letters should be made available to the candidate.

Analysis of the Candidate's Performance in Teaching. The Department Review Committee and/or Department Chair is responsible for preparing an analysis of the candidate's performance in teaching that (1) summarizes responses on student evaluations of instruction, including items assessing the overall quality of the course and compares them to the responses to these questions for all faculty in the department or other relevant faculty groups; (2) assesses course materials and other documentation that might be provided in a teaching portfolio; and (3) indicates specific strengths and weaknesses of the instructor identified by student, peer, and external evaluations and describes any actions being taken to correct deficiencies. This analysis becomes part of the review file (either as part of the DRC's report or as a separate document).

Analysis of the Quality and Significance of the Candidate's Scholarly or Creative Activity. The Department Review Committee and/or Department Chair is responsible for examining documentation of the candidate's scholarly research, creative, and other professional activities, including the assessments solicited from external reviewers, and preparing an analysis of their quality and significance that is added to the review file (either as part of the DRC's report or as a separate document).

Analysis of the Quality and Significance of the Candidate's Service Activity. It is the responsibility of the Department Review Committee and/or the Department Chair to examine documentation of the candidate's service activities, including any assessments solicited from external reviewers, and prepare an analysis of their quality and significance to be added to the review file (either as part of the DRC's report or as a separate document).

Report of the Department Review Committee. The analysis of strengths and weaknesses and the resulting recommendation prepared by the Department Review Committee should be addressed to the Department Chair. It should indicate the vote of the committee on the recommendation and be signed by all members to indicate that they have reviewed the report. Significant minority opinions should be identified but need not be attributed to individual members of the committee. Separate minority reports may be written and submitted as an attachment to the report of the committee.

Recommendation of the Department Chair. The analysis of strengths and weaknesses and the resulting recommendation prepared by the Department Chair should be addressed to the Dean. (If the recommendation is positive, a copy is given to the candidate when it is forwarded to the dean. If it is negative, he or she shall meet with the Faculty Member to provide the Faculty Member with a copy of the determination and its rationale, and to explain the Faculty Member's right of rebuttal. Within ten Days after this meeting, the Faculty Member may submit to the dean and the chair his or her written rebuttal to the chair's determination. Upon receipt of the Faculty Member's rebuttal, or at the end of ten Days after the chair meets with the Faculty Member if the Faculty Member does not submit a rebuttal, the chair

shall submit his or her determinations and rationales, together with the recommendations and rationales of the DRC, to the dean of the College). See section 6.3.2 of the Tenure Document.

Report of the College Review Committee. The analysis of strengths and weaknesses and the resulting recommendation prepared by the College Review Committee should be addressed to the Dean. It should indicate the vote of the committee on the recommendation and be signed by all members to indicate that they have reviewed the report. Significant minority opinions should be identified but need not be attributed to individual members of the committee. Separate minority reports may be written and submitted as an attachment to the report of the committee.

Recommendation of the Dean. The analysis of strengths and weaknesses and the resulting recommendation prepared by the Dean should be addressed to the Provost. (If the recommendation is positive, a copy is given to the candidate when it is forwarded to the Provost. If the recommendation is negative, he or she shall meet with the Faculty Member to provide the Faculty Member with a copy of that determination and its rationale, and to explain the Faculty Member's right of rebuttal. Within ten Days after this meeting, the Faculty Member may submit to the Provost and the dean his or her written rebuttal to the dean's determination. Upon receipt of the Faculty Member's rebuttal, or at the end of ten Days after the dean meets with the Faculty Member if the Faculty Member does not submit a rebuttal, the dean shall submit his or her determinations and rationales, together with the recommendations and rationales of the CRC and the DRC, the determinations and rationales of the department chair, and the Faculty Member's rebuttal(s), if any, to the Provost. See section 6.3.3 of the Tenure Document.

Recommendations and Documentation Reviewed by the Provost

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D. Review for Renewal of Special Faculty Appointments

Policies, Regulations, and Procedures

Recommendations for renewal of special faculty appointments must be developed according to Section 3.4 of the Tenure Document, the college and departmental policies, procedures, and criteria that implement them, the University's Affirmative Action Plan, and the schedule established by the Provost.

Areas of Performance to be Reviewed ...

The Review File

Compilation of the materials that will constitute the review file is a shared responsibility of the candidate, the Department Review Committee, the Department Chair, the College Review Committee, and the Dean. The completed file should consist of the materials described in Section VI. C above that pertain to the appointment being considered.

Recommendation and Documentation Reviewed by the Provost

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E. Tenured Faculty Performance Review The purpose of Tenured Faculty Performance Review is to provide for the periodic and comprehensive review of the performance of all faculty members who have tenure and whose primary duties are teaching, research, and service. The goals of such a review are to promote faculty development and productivity and provide additional accountability. For more information on Tenured Faculty Performance Review, please click on the link.