

School of Education

Policy Manual

The University of North Carolina at Chapel Hill

INTRODUCTION

The School of Education Policy Manual has been prepared for all faculty, students, and staff of the School of Education at the University of North Carolina at Chapel Hill. This manual includes primarily policies unique to the School. More complete information about University policies is available on the UNC-CH website: www.unc.edu/campus/policies.html.

The Policy Manual is approved by the Faculty of the School of Education.

II. THE SCHOOL OF EDUCATION

The School of Education was established in 1868 by the North Carolina General Assembly “to establish and maintain in connection with the University a department of ...normal instruction.” Over the years the School has grown with the University to become a major center of teaching, research, and public service to the state, region, and nation. Today the School offers a full range of undergraduate and graduate study through degree and licensure programs in many specialty areas and prepares students for initial teacher licensure in North Carolina. The School is accredited by the Southern Association of Colleges and Schools and the National Council for Accreditation of Teacher Education. Its academic degree programs are authorized by the Board of Governors of the University of North Carolina. Its teacher licensure programs are approved by the North Carolina State Board of Education.

A. Mission

Committed to diverse and democratic communities, the School of Education of the University of North Carolina at Chapel Hill, the first state university in the nation, recognizes and respects the promise of every child. Our scholarly efforts, consonant with the mission of this distinguished research university, continually generate new knowledge that seeks improvement of education in the state of North Carolina and across the nation.

In our research-based programs, we educate teachers, administrators, and other educational professionals to become leaders at all levels of education. We work with our students and with our colleagues in the schools to build learning communities where knowledge and skills, respect, hope, and justice can be claimed by children and by the adults who teach and care for them.

The School of Education has adopted a school-wide conceptual framework based on curriculum, integration, reflection, care, leadership, and equity. See Appendix A for the School’s conceptual framework.

B. Accreditation

The School of Education is accredited by the National Council for Accreditation of Teacher Education (NCATE).

Professional education licensure programs are approved by the State Board of Education through standards and procedures administered by the North Carolina State Department of Public Instruction.

C. Organization of the School of Education

The School of Education has an academic organization and an administrative organization.

C.1. Academic Structure

The School of Education's academic programs and its projects and centers are organized into four areas, each with a faculty member appointed by the Dean to serve as Area Chair: (1) Teaching and Learning, (2) Educational Leadership, (3) Human Development and Psychological Studies, and (4) Culture, Curriculum and Change. All academic degrees and licensure programs operate under the auspices of these four areas. The Area Chairs meet regularly with the dean and the dean's senior staff to discuss the management and direction of the School of Education. The Chairs report to the Dean and to the Associate Dean.

C.1.a. Doctoral Affairs Committee

The Doctoral Affairs Committee discusses and makes recommendations to the Dean and the Faculty on academic policies, standards and procedures related to both the Ph.D. and Ed.D. programs in the School of Education. All matters pertaining to doctoral affairs are under the purview of this school-wide committee, whose membership consists of a chair appointed by the Dean, the Senior/Associate/Assistant Dean, the Program Coordinators for the three strands in the Ph.D. in Education, the Ph.D. in Education Convener, the Program Coordinators for the Ph.D. in School Psychology, the Ed.D. in Curriculum and Instruction, the Ed.D. in Educational Leadership, student representatives, and as Ex Officio, the Director of Student Affairs and the Area Chairs.

C.1.b. Program Coordinators

Program coordinators are appointed by the Dean and report to the Area Chairs. While program coordinators are not full-time administrators, there is an expectation for planning, supervision, mentoring, evaluation, and reporting that amounts to a significant administrative assignment. Consequently, a faculty workload adjustment may be provided to faculty members appointed as program coordinators.

C.1.c. Research Triangle Schools Partnership

The Research Triangle Schools Partnership (RTSP) is an institutional partnership among the University of North Carolina at Chapel Hill and the Chapel Hill/Carrboro, Durham, Orange County, and Chatham County school systems. Under the leadership of the Dean of the School of Education or the Dean's designee, the purposes of RTSP are to improve teaching and learning in the public schools and to strengthen the preparation and continuing professional development of teachers and education leaders through partnership among university, school and community organizations, and their leadership representatives. An RTSP Steering Committee convened periodically by the Dean has responsibility for the overall guidance and oversight of RTSP program operations and activities, including evaluation and long-range planning.

C.2.a. The Dean of the School

The Dean is the chief administrative officer of the School of Education and is responsible for overall direction, coordination, and development of the School's activities. The Dean provides leadership to the School and carries out the duties of the office as

described in the Faculty Code. The Dean is responsible for all personnel and budget matters and oversees long-range planning and academic program development.

The Dean is advised by a leadership team consisting of associate and assistant deans along with directors and managers of administrative offices, centers and major projects.

The Dean is appointed by the Chancellor and reports to the Executive Vice Chancellor and Provost.

C.2.b. The Senior Associate Dean

The Senior Associate Dean serves as chief academic officer and reports to the Dean. Besides having budgetary and appointment authority alongside the dean's, she can represent the Dean in university-wide meetings and the UNC system when needed. Her overarching responsibility is to work most closely with the dean and other leadership in the School to advance faculty, staff, and student agendas for change and improvement in the cause of education. She is the chief liaison with the Graduate School and the UNC Director of Institutional Research, among other campus and UNC system constituents. In addition to her responsibilities for academic programs, she will also work closely with the Director of Research to ensure development of a strong research infrastructure and culture in the School. Her direct reports are: Assistant Dean for Quality Control, Director of Student Affairs, Director of Graduate Studies, and Director of Research.

C.2.c. The Assistant Dean for Quality Control

The Assistant Dean for Quality Control's main responsibility is oversight of all accreditation processes. Her other responsibilities fall into three additional areas. A first area of responsibility is related to academic functions. She coordinates and develops activities for School of Education Teaching Assistants, represents the School at Department of Public Instruction Assistant/Associate Dean meetings, represents the Dean's office as final authority for undergraduate student appeals, oversees and assists the Coordinator for Teacher Recruitment and Retention, and handles year-round course scheduling and Teaching Assistant and part-time Fixed-Term faculty pay approvals. Second, she oversees and assists the IT staff. Third, she oversees the Institution of Higher Education annual report writing. Her direct reports are the Coordinator for Teacher Recruitment and Retention and the IT staff. The Assistant Dean for Quality Control position reports to the Senior Associate Dean.

C.2.d. The Assistant Dean for External Relations

The School of Education's Assistant Dean for External Relations reports to the Dean and is the principal liaison between the Dean and the University Development Office. This person is responsible for developing and maintaining the School's development plan and carrying out such activities as are required to implement the plan for locating non-state resources to help support the work of the School. The Assistant Dean for External Relations is principal liaison for the Dean to the School of Education Foundation, Inc. and supervises the Director of Alumni Relations, as well as engaging in outreach and liaison to build support in the School of Education's constituencies.

C.2.e. Assistant Dean for Administration and Finance

The Assistant Dean for Administration and Finance supervises the staff and oversees the policies, procedures, and processes related to business, finance, human

resources, information technology services, and significant renovation and capital improvement projects of the School of Education. The Assistant Dean serves as the treasurer of the Board of Directors of the School of Education Foundation, Inc.

C.2.f. The Coordinator for Faculty Personnel Procedures

The Coordinator for Personnel Procedures oversees all actions related to faculty appointments (including reappointments, promotion, and tenure), reporting directly to the Dean.

C.2.g. The Director of Student Affairs

The Director of Student Affairs reports to the Associate Dean and has primary responsibility for oversight and coordination of undergraduate, graduate and non-degree program admissions, scholarships, financial aid, monitoring student progress and advisement and course management. Other responsibilities include support of accreditation activities, dissemination of program information, and representation of the School.

C.2.h. The Director of Alumni Relations

The Director of Alumni Relations is responsible for managing the School of Education's alumni activities. The Director is principal staff to the Alumni Council. The Director prepares an annual plan for alumni activities, presents it to the Dean and the Alumni Council for consideration, and carries out the plan.

C.2.i. The Coordinator of Teacher Recruitment and Retention

The Coordinator of Teacher Recruitment and Retention has primary responsibilities in the areas of teacher licensure, recruitment of students for teacher licensure and development of alternative certification programming, and management of clinical placements. Other responsibilities include support of accreditation activities, dissemination of program information, and representation of the School to a variety of publics. The Coordinator reports to the Associate Dean.

C.2.j. The Executive Director of LEARN NC

LEARN NC, a primary K-12 teacher outreach program of the School of Education, is a collaborative statewide network of teachers and partners devoted to improving student performance and enhancing teacher proficiencies by creating and sharing high-quality teaching and learning resources via the communications infrastructure of the World Wide Web. The Executive Director for the LEARN NC program reports to the Dean of the School of Education and has primary responsibility for the general management of the program, including personnel and budget. The Director is responsible for developing and implementing the strategic plan of the program and promoting appropriate coordination with the School of Education faculty.

C.2.k The Director of the Center for Mathematics and Science Education

The Center for Mathematics and Science Education was established by the General Assembly in 1984 as the UNC Chapel Hill unit of the North Carolina Mathematics and Science Education Network (NC-MSEN), a statewide organization that works to improve mathematics and science education in the schools and to encourage more students to pursue

careers in mathematics, science, engineering and technology. The Center plans and presents professional development for teachers; supports School of Education programs, including lateral entry and M.Ed. programs for mathematics and science teachers; and manages the MSEN Pre-College Program, an encouragement and enrichment program in mathematics and science for students of grades 6-12.

The Director of the Center for Mathematics and Science Education reports to the Dean of the School of Education and has primary responsibility for the general management of the Center's program, including personnel and budget. The Director is responsible for developing and implementing the strategic plan of the program and promoting appropriate coordination with the School of Education faculty, with Arts and Sciences faculty, and with school systems cooperating with the Center's professional development and student encouragement programs.

C.2.i. Director of the Carolina Teaching Fellows Program

The Director of the Teaching Fellows Program reports to the Dean and is responsible for the overall operation of the program, including recruitment, advisement, and compliance with the policies of the North Carolina Teaching Fellows Commission. The Director is the liaison between the School of Education and the Commission and its staff.

C.2.m. Director of School of Education Honors Program

The School of Education has an honors program for undergraduate students with very high achievement and academic performance. The program is directed by a faculty member appointed by the Dean.

C.2.n. The School of Education Communications Coordinator

The Communications Coordinator is responsible for the communications and public information activities of the School, including publication of the alumni newsletter, *The Carolina Slate*. The Communications Coordinator serves as the primary communications link between the School of Education and the media, University communications personnel, and public relations groups. In collaboration with the School's development and alumni relations staff, the Communications Coordinator serves as part of the School's Office of Advancement under the Assistant Dean for External Relations.

C.3. Governance of the School of Education

A number of important boards, councils, and committees govern or act in an advisory capacity to facilitate the work of the School. These units are depicted in the diagram in Appendix D.

C.4. Administrative Board of the School of Education

The Administrative Board monitors academic program activities of the School of Education. It reviews all proposed revisions of academic programs and policies. The Dean of the School of Education chairs the Board which meets at least once each semester during the academic year.

The Administrative Board consists of the Dean, the Associate Dean, the Assistant Dean for External Relations, the Assistant Dean for Administration and Finance, the Area Chairs, and not more than five faculty from other units of UNC-Chapel Hill.

C.5. The School Advisory Council

The School Advisory Council includes representation from the staff and students as well as from the faculty. The purposes of the Council are as follows:

1. to provide regular advice to the Dean on all matters related to School of Education operations and general guidance on long-range plans and activities of the School;
2. on behalf of the faculty, to assure complete understanding of current operations and future plans and recommend agenda items for full faculty consideration;
3. to provide regular information and status reports to the faculty and students to assure the best possible relationships among faculty, students, and administration of the School of Education; and
4. to provide review of revisions in curriculum and academic programs and prepare necessary recommendations for full faculty consideration.

The Council is comprised of the Dean, one faculty member from each of the four areas of the school, appointed by the Area Chairs, one member of the staff elected by that body, and leadership representatives among undergraduate and graduate student bodies.

Terms of membership for full-time and clinical faculty are three years. Student members are Council members for one year and may serve up to two consecutive terms. In cases where a faculty member is promoted in rank or assigned administrative responsibilities while serving a term on the Council, the individual will complete his/her term representing the original constituency. In the case of a faculty member who resigns or is on a leave of absence, the Dean shall appoint a faculty member of the same rank to serve the duration of the term. The Council is chaired by the Dean.

The Council meets at least twice a semester during the academic year (September-April).

C.6. School of Education Faculty

The general faculty of the School of Education is made up of all individuals with faculty appointments: tenured, tenure-track, clinical, and visiting. All faculty members are expected to attend general faculty meetings. All full-time tenured, full-time tenure-track, and full-time clinical faculty may vote on all matters of policy brought to a vote at these meetings.

The Senior Faculty of the School of Education includes all tenured full and associate professors. The Senior faculty votes on faculty personnel actions for tenure-track and tenured faculty approves hires of tenured and tenure-track faculty. Only full professors will participate on committees and votes concerning promotion to the rank of full professor.

Each faculty member, in consultation with Area Chairs, notifies the Associate Dean of that individual's primary and, if appropriate, secondary program affiliation(s) within the School of Education.

C.7 Other School of Education Advisory Boards and Councils

C.7.a. (1) The School of Education Foundation, Inc. Board of Directors

The School of Education Foundation, Inc. is governed by a Board of Directors that provides advice and oversight for the Dean with regard to the development and distribution of non-state resources. The Foundation is a holding trust for non-state funds subject to an annual independent audit. All funds contributed by alumni, friends, special donors, gifts to the School and grants from private foundations and agencies are held by the Foundation. The Dean is president of the Foundation. The Foundation Board membership includes the Dean, the Associate Dean, the Assistant Dean for External Relations, the Assistant Dean for Administration and Finance, representation from the Alumni Council, and outside membership from business, government, and professional organizations. The by-laws of the Foundation and a roster of current officers are available for review. The Foundation Board is staffed by the School of Education's Assistant Dean for External Relations.

C.7.b. (2). *Alumni Association Council*

The Alumni Association of the School of Education is governed by a Council consisting of members elected by the School of Education alumni. The Council provides advice and assistance to the Dean and to the School on programs, plans, and fund raising by alumni. The Alumni Council is staffed by the Director of Alumni Relations. The Alumni Association sponsors annual symposia, lectures, and other activities for faculty, students, and alumni.

C.7.c.(3) Standing Committees of the School of Education

C.7c.(3).a. *The Leave Committee*

The School of Education Leave Committee reviews applications for leaves in relation to university and School policy and recommends to the Dean, putting positive recommendations in rank order. The Dean sets the membership each year for a one-year term.

C.7.c.(3).b *The Human Participants Review Committee*

The School of Education Human Participants Review Committee reviews all research proposals involving human subjects submitted by School of Education faculty or students. The Committee ensures compliance with all policies of the University Academic Affairs Institutional Review Board (AA-IRB). Proposals reviewed by the Committee and approved by the Associate Dean are forwarded for final review to the chair of the University AA-IRB.

The Committee is composed of the chair and at least three School of Education faculty members, each appointed by the Dean for a two-year term. Committee membership is staggered so that one person will rotate off the Committee each year and one new person will begin service.

C.7c.(3).c. *The Travel Committee (See V.B.7.b.)*

The Travel Committee reviews applications for travel monies. The dean sets committee membership each year for a one-year term.

C7.c.(4).d. *Post-Tenure Review Committee (See VIII. K.)*

C7.c.(4).e. Scholarship/Fellowship Committees

There are two Scholarship/Fellowship committees. One is a standing committee which reviews applications and determines final awards for School of Education funded scholarships/fellowships. Examples of current scholarships/fellowships include the Allen Coningsby Moore, the Willie Hall Kennedy, and the Bill Malloy Travel Fund. For some awards/nominations the committee recommends to the Dean, who makes the final decision.

The standing committee consists of three faculty members and the Director of Student Affairs who convenes the committee in an Ex Officio capacity. Usually there is at least one faculty representative who teaches in an undergraduate program and at least one representative from a graduate program. Faculty are appointed by the School of Education Dean. Members serve a two-year term, arranged so there is overlapping membership from one year to the next. The committee meets at least once in the fall semester and once in the spring semester of each academic year. Processes and accompanying action timelines are set by the Director of Student Affairs for each scholarship/fellowship offered. Nominations are always solicited from faculty.

The second scholarship/fellowship committee is an Ad Hoc committee, convened in the early spring to review newly admitted graduate students who might be eligible for the Graduate School competitive scholarships and fellowships. The committee determines which candidates will be submitted to the Graduate School, and where required, the SOE Dean ranks the nominations. The Ad Hoc committee is convened by the Director of Student Affairs in an Ex Officio capacity. Members of the committee are all of the program coordinators (or their designated representatives) for SOE programs that are Graduate School programs.

D. Official Correspondence

All official correspondence with University officials, the State Department of Public Instruction, the UNC General Administration and other outside agencies and organizations must be handled and signed by the Dean, unless specifically delegated to another person by the Dean. No contracts or commitments of personnel, funds, or space may be made by any faculty member or administrator other than the Dean.

E. Procedures for Program/Curriculum Initiation and Revisions

Policies and procedures for planning establishing or discontinuing academic degree programs are described in the University's Academic Program Development Procedures, available on the UNC website: <http://www.northcarolina.edu/>

E.1. Program Initiation/Discontinuation

E.1.a. For program planning and authorization to establish a new program, the sequence for approval within the School of Education is as follows: (a) the program faculty, in consultation with the Associate Dean; (b) the Area Faculty; (c) the Area Chairs meeting with the Dean and Associate Dean; (d) the School of Education faculty; and (e) the Dean Procedures for further steps in the program approval process are provided on the UNC-CH website

<http://www.northcarolina.edu/content.php/aa/index.htm>. Additionally, programs involving licensure require NC Department of Public Instruction review, which is coordinated through the Associate Dean's office in consultation with the School of Education Coordinator of Teacher Recruitment and Retention.

E.1.b. For program discontinuation, the sequence for approval within the School of Education is as follows: (a) the program faculty, in consultation with the Associate Dean; and (b) the Area faculty; (c) the Area Chairs meeting with the Dean and Associate Dean; and (d) the Dean. Procedures for further steps in the program discontinuation process are provided on the UNC-CH website, <http://www.northcarolina.edu/content.php/aa/index.htm>.

E.3. Curriculum Development and Revision

Proposals for new courses and requests for substantive revision must be approved by the following School of Education bodies, in this sequence: (a) the program faculty and Program Coordinator, in consultation with the Associate Dean; (b) the Area faculty; (c) the Area Chairs meeting with the Dean and Associate Dean in charge of academic affairs; (d) the Doctoral Affairs Committee (for doctoral courses only); (e) the full faculty; (f) the Graduate School, if the program is under the auspices of the Graduate School. After the proposal has been approved at all of these levels, the proposal is forwarded from the Associate Dean to the Registrar's Office to be officially registered with the University.

Proposals for minor course changes, such as minor changes in course description or title change must be approved by: (a) the program faculty and Program Coordinator; (b) the Area Chair meeting with the Associate Dean in charge of academic affairs; (c) the Graduate School, if the program is under the auspices of the Graduate School. After the proposal has been approved at these levels, the proposal is forwarded from the Associate Dean to the Registrar's Office to be officially registered with the University.

F. School of Education Budget

The state of North Carolina operates on a biennial budgeting cycle on the odd year (1999, 2001, etc.). Funds are appropriated by the N.C. General Assembly, allocated to the 16 constituent institutions of The University of North Carolina by the UNC Board of Governors, and distributed to campus units by the Chancellor of each institution. Annual budgets for the School of Education are negotiated by the Dean with the Provost of UNC-Chapel Hill.

Additional funds are available to the School through external grants and contracts developed by faculty and staff and through funds raised through alumni contributions and designated grants and gifts from private foundations or individuals for scholarships, professorships, or other special needs such as computers, faculty research, or travel.

Each year funds are received from non-state and non-federal agency sources, most of which are designated for endowment, project, student stipend, or professorship purposes. These funds are received through a School of Education Foundation, Inc. established for that purpose, which has a separate external Board of Directors and auditor and which reports annually to the University and state budget and auditing systems. All non-state funds are spent in accordance with state requirements and procedures.

G. Publications By and About the School of Education

The Undergraduate, Graduate, and School of Education catalogs, published annually, contain listings of School of Education faculty, courses, and program descriptions, some procedures and regulations, and other general information. The Director of Student Services coordinates the collection and compilation of information for catalogs and related publications. These documents are available on the University website, www.unc.edu, and also in hard copy upon request.

III. FACULTY ACADEMIC PROCEDURES

A. Faculty Workload

The School of Education faculty has adopted a general model for distribution of effort for fulfilling their professional responsibilities in the School of Education:

Teaching and advising	40%
Research and scholarly productivity	40%
Service to the profession, schools, program development, administration	<u>20%</u>
	100%

Any individual faculty member's workload should reflect the concurrence of the faculty member, the program coordinator(s), the Associate Dean, and the Dean, following the model with acceptable variability.

Typically a tenure track faculty member is expected to teach 12 academic hours across the fall and spring semesters. In some instances summer work may be applied toward the 12 hour load, if it is not otherwise compensated. Clinical faculty members generally have a 21-hour workload, which may include credit for programmatic coordination or other administrative duties. Clinical faculty members are not expected to do research, although they are encouraged to do so.

Faculty are restricted by University policy in the amount of overload payment they may receive in one fiscal year. The amount of overload payment for twelve-month appointment faculty may not exceed 25% of their base salary. Faculty with nine-month appointments may not exceed overload payments in the amount of 25% of their base salary during the academic year or one-third their base salary during the summer.

B. Faculty Teaching Assignments

Teaching assignments should be made far enough in advance of each assignment to provide adequate time for faculty preparation. During each fall semester, each program area coordinator negotiates with faculty members to propose teaching assignments for the following academic year. All proposed assignments are submitted to the Area Chair and then to the Associate Dean for final formulation.

C. Summer School Teaching

Proposals for courses to be offered in summer school are made each year by School of Education program coordinators to the School of Education Director of Summer School for final formulation. Decisions about offerings are based upon considerations such as student demand, program needs, and budget. The School of Education Director of Summer School communicates about the course schedule and other related matters with the University Summer School Office. Faculty members may teach a maximum of two courses or seven credit hours total for both summer sessions.

D. Advisement by Faculty

Faculty members participate in the advisement of students. Undergraduate advisement is primarily handled in the Office of Student Affairs. Guidelines for undergraduate

advisement are provided in the Student Advisement Manual for the Teacher Education Program. Copies are available on the School of Education website.

Graduate advisement assignments are made by program coordinators. Every attempt is made to match the interest of students with faculty advisors.

E. Authorship Criteria

The School of Education faculty strive to maintain high standards and reputations as ethical researchers and to serve as role models and mentors to the students with whom we work and who will be the researchers of tomorrow. Toward this end, the School of Education faculty subscribe to the policies of the major professional organizations regarding joint authorship.

Specifically, School of Education faculty are guided by the Chancellor's Revision of University Policies and Procedures on Ethics in Research (March 15, 2001), which states in part:

[The faculty] should comport ourselves in such a way that even the suspicion of [misdoing] is unlikely to arise and, if it does arise unjustly, we have the records in hand to prove that the allegation was misplaced.

We are further guided by the ethics statements of relevant professional organization, such as the American Educational Research Association and the American Psychological Association. Principal authorship and other publication credits accurately reflect the relative status. Mere possession of an institutional position, such as Department Chair, does not justify authorship credit. Minor contributions to the research or to the writing for publications are appropriately acknowledged, such as in footnotes or in an introductory statement. (*Ethical Principles of Psychologists and Code of Conduct for the American Psychological Association*) <http://www.apa.org/journals/authors/ethecs02.pdf> More detailed information about standards of authorship is available from the office of the Associate Dean.

F. Support for Faculty Teaching

F.1. Textbook Ordering

Faculty members receive a memorandum from the School of Education textbook coordinator requesting them to designate required textbooks for the upcoming semester.

Requests are forwarded to the student stores by the coordinator.

F.2. Reserve Readings

Assigned readings for undergraduate and graduate courses may be placed on reserve in the School of Education's Curriculum Materials Center, in the University's Robert B. House Undergraduate Library, or at several of the branch libraries. Materials may be placed on electronic reserve through Davis Library.

G. The University Calendar

The University academic year is approximately nine months in length, mid-August through mid-May. It is divided into two semesters, with the fall semester ending before year's

end and spring semester beginning in January. A general calendar for the school year is published in The Undergraduate Bulletin. A more detailed calendar is published in The Graduate Bulletin, which includes deadlines for graduate exams, theses, dissertations, applications, and other important events. <http://events.unc.edu:31313/calendar.html>

H. Accreditation Documentation

Typically the School of Education undergoes an accreditation review of some kind every four or five years. Documentation for these reviews must be maintained continuously. Toward that end, individual faculty are required to provide the following information by May 15 of each year:

- electronic version of current curriculum vitae;
- electronic version of current syllabi of all courses taught (with the School's conceptual framework and the program's conceptual framework featured on each syllabus);
- at least one set of work samples/products from each course taught that year.

Program coordinators are charged with:

- ensuring that each program is evaluated once a year in a systematic manner;
- providing documentation of how evaluations led to programmatic improvements, if needed;
- providing minutes of all program faculty meetings.

All documentation is to be submitted to the Associate Dean by May 15.

IV. FACULTY APPOINTMENT, PROMOTION, TENURE, REAPPOINTMENT, AND EVALUATION POLICIES

A. Introduction

This section includes statements of the standards and procedures relevant to faculty personnel decisions in the School of Education of The University of North Carolina at Chapel Hill. These policies are based on the premise that faculty personnel policies for the School of Education must be consistent with the basic values and mission of the School as well as those of the University of which it is a part.

The School of Education policies are governed by those established by The University of North Carolina as specified in (1) The Code of the Board of Governors of The University of North Carolina, (2) Trustee Policies and Regulations Governing Academic Tenure in The University of North Carolina at Chapel Hill, 1994, (3) the Faculty Code of University Government, and (4) the Equal Employment Opportunity Plan and Report of The University of North Carolina at Chapel Hill. In this document, additional information is presented on the standards and procedures governing faculty decisions within the School of Education.

Notwithstanding the policies and procedures adopted by the faculty of the School of Education, recommendations made by the Dean and faculty are subject to review at higher levels within the University. These University-wide review procedures may apply standards that are modifications or differences in emphases with regard to teaching, research, and service expectations for members of the faculty of The University of North Carolina at Chapel Hill. The University Criteria for Evaluation of Candidates for Reappointment and Tenure are expressed in the following statement explaining University Trustee Policy. The Trustee Policies and Regulations Governing Academic Tenure in The University of North Carolina at Chapel Hill indicate that tenure is held with reference to the institution and with reference to institution-wide standards. Section 2a of the Trustee Policies . . ., for example, indicates:

While academic tenure may be withheld on any grounds other than those specifically stated to be impermissible under Section 4 hereof, its conferral requires an assessment of institutional needs and resources and evidence of service to the academic community, potential for future contribution, commitment to the welfare of the University, and demonstrated professional competence, including consideration of commitment to effective teaching, research, or public service.

Section 4a of the Trustee Policies . . . indicates that the decision not to reappoint a faculty member upon expiration of a probationary term of appointment:

. . . is committed, without further recourse, to the judgment of the officers of administration authorized to make it, acting in accordance with prescribed procedures. In exercise of their judgment, whether in the first instance or in review of a recommendation to reappoint, such officers may take into account and use as a basis of

decision, in whole or in part, any factors deemed relevant to total institutional interests .

The tenure system is based upon the understanding that tenure is a privilege bestowed by the institution in keeping with its needs for outstanding achievement. It represents a fundamental institutional judgment of an individual's actual and potential contributions to the professional life of teaching, scholarship, and service. Thus not everyone will obtain tenure. No set of detailed criteria can exist, the mere fulfillment of which will ensure tenure, and there will occasionally be differences of opinion about evaluations of an individual's contributions. Also relevant in the tenure decision are institutional interests that necessarily extend beyond the domain of any individual department or school. To insure that its intellectual quality is maintained and enhanced, the University insists on a standard of overall excellence.

As a reflection of the relevance of institutional interests, candidates for reappointment, promotion, and tenure are evaluated independently according to the criteria referenced above at several levels of University administration, including the levels of: Department Chair; Dean; Provost; Subcommittee on Professional Schools; Advisory Subcommittee on Appointments, Promotion, and Tenure; Committee on Appointments, Promotion, and Tenure; Chancellor; and Board of Trustees. Each level of administration may apply different or even higher standards of excellence from those applied at previous levels of review, consistent with school, division, and University-wide interests that are represented by these different levels.

B. Categories of Faculty in the School of Education

There are three categories of faculty in the School of Education: (1) full time tenure track; (2) full time, fixed term; and (3) part time, fixed term faculty. All members of all three categories are subject to review and evaluation for appointment, promotion, tenure or reappointment actions and for teaching performance.

C. Faculty: Observation of Teaching

C1. School of Education Teaching Observation Requirements for Untenured Faculty (approved February 1998)

- The faculty member is observed by two observers. One is chosen by the Chair or Program Coordinator, and the other by the faculty member. One observer must be a Senior Faculty member, and the other may be at the same or higher rank and tenure status as the faculty member.
- Two classes will be observed by prior arrangement with the faculty member. Both observers must attend the same two classes. The faculty member will choose the course(s) and negotiate the observation schedule. Students should be fully informed in advance of the observation.

- Observers and the faculty member will meet for one pre-observation conference to discuss the goals, objectives, and methods for the course. The faculty member should provide relevant written materials, such as course syllabi, before or during the conference.
- There will be a post-observation conference within two weeks of the last observation to discuss whether the specific goals, objectives, and methods set by the faculty member were successful.
- Observers may choose any method to record their impressions of the classes they visit. They are required to summarize them in writing as soon as possible.
- The observers should be open to discussing the classes they observed at any time and to meeting with the faculty member if so requested.
- A draft of the report, co-written by the observers, should be given to the faculty member before the post-observation conference. Following the conference, the report will be finalized. The faculty member is invited to submit his or her own analysis to the Dean's office.

C.1.a. The following timelines will be observed.

C.1.a.1. For (pre-tenure) reappointment:

Faculty members are usually reviewed two semesters prior to the decision point for reappointment.

- Faculty up for reappointment will be notified by the Dean or the Dean's designee by the end of their first year that they need to be observed some time in their second year, prior to coming up for reappointment.
- The faculty member may be observed either one or two semesters before the semester in which their cases will be reviewed. The faculty member will choose the semester and course for the observation.
- The faculty member's Program Coordinator will notify the Dean or the Dean's designee as to the composition of the observation team in advance of the first week of the semester of the observation. It is imperative that the Dean or the Dean's designee appoint the observation team no later than the first week of the semester of observation.
- The final written report should be completed and submitted to the Dean's office by the end of the semester of observation.

C.1.a.2. For tenure

Faculty members up for tenure are usually reviewed one or two semesters prior to the decision point for tenure.

- Faculty up for tenure will be notified by the Dean or the Dean's designee at least one year prior to the decision point about their teaching observation. The observation can occur either one or two semesters before the semester in which faculty members submit their documents for tenure review.
- During the seventh or eighth semester, the faculty member's Program Coordinator will notify the Dean or the Dean's designee as to the composition of the observation team. Also during the seventh or eighth semester, the Dean or the Dean's designee appoints the team of observers. It is imperative that the Dean or the Dean's designee appoint the observation team by the first week of the semester during which the observation will occur.
- The written report should be completed and submitted to the Dean's office by the end of the faculty member's ninth semester (beginning of the fifth year).

C2. School of Education Teaching Observations for Tenured Individuals Seeking Promotion and Tenured Faculty Undergoing Mandatory Review

Tenured faculty members seeking promotion or undergoing mandatory internal review may choose the observation procedures described above for untenured faculty or they may elect to use the following procedures:

- Faculty may elect to work in pairs, observing one another during any number of classes.
- Pairs may be from different ranks and program areas. They must wish to work together. Individuals self select partners.
- All activities are reciprocal. Each partner follows the same procedures when working with the other partner.
- Peer observation should occur within a broader context of the pair's ongoing discussion of the improvement of teaching.
- The pair jointly prepares a narrative report of the process used and the results of the collaboration. The report is submitted to the Dean.

C.2.a. Timeline

- Tenured faculty members seeking promotion or undergoing mandatory internal review usually complete teaching observations some time between their last

promotion or mandatory internal review and the semester in advance of the next one.

- At least one semester in advance of tenured faculty members' review for promotion to Professor or mandatory internal review: faculty members will be notified by the Dean or the Dean's designee that they should have completed teaching observation requirements prior to the semester of the review.
- If a tenured faculty member chooses the teaching observation procedure outlined above for untenured faculty, then the faculty member's Program Coordinator notifies the Dean or the Dean's designee as to the composition of the observation team. If a tenured faculty member chooses the "partner" system described immediately above this section, the partners notify the Dean or the Dean's designee as to the composition of the observation team. In either case, the notification is usually done by the end of the first week of classes in the semester preceding the faculty members' review.
- The final written report should be completed and submitted to the Dean by the end of the semester of observation.

C3. School of Education Teaching Observations for Individuals in Fixed Term Positions, Involving Full-Time Teaching, Who are Seeking Promotion

Fixed Term faculty who teach full time and are seeking promotion adhere to the same observation procedures as are outlined above for untenured faculty.

C.3.a. Timeline.

The Program Coordinator notifies the Dean or the Dean's designee as to the composition of the observation. The notification usually happens, at the latest, by the end of the first week of classes during the semester of the review. The final written report should be completed and submitted to the Dean at the end of the observation.

D. Faculty: Standards for Faculty Positions

Decisions on faculty appointment, promotion, reappointment, and tenure are based in part upon qualitative criteria that cannot be reduced to quantitative specifications. It is possible however to identify major areas of consideration for faculty decisions, and to provide examples of the types of information that are considered in making decisions. The recruitment and selection process will comply with all federal and state laws, regulations and policies and will give equal employment opportunity to all applicants, without regard to race, religion, color, creed, national origin, sex, age, disability, or political affiliation/influence. The final selection decision will be made from among the most qualified applicants, which includes applicants with re-employment priority, based solely on job-related criteria.

D.1. Standards for Faculty Personnel Actions: Tenure Track Positions

D.1.a. Instructor

Definition. Ordinarily, an instructor is a person appointed to a tenure track position with the expectation that he or she will fulfill all qualifications for the doctorate during the first year with the School of Education, and at such time be promoted under the specific provisions as stated under University Trustee Policies and Regulations . . . and by School standards.

"Initial appointment to the rank of instructor is generally for a probationary term of one year. The instructor may be reappointed successively for three further one-year terms, a total of four such terms." "An appointment or reappointment at the rank of instructor may be made on the specific condition that automatically upon the conferral of a specified academic degree the instructor shall be reappointed at the rank of assistant professor for an initial four-year appointment" (Quotes from section 2b4 of Trustee Policies and Regulations . . ., 1994). The Dean shall advise the appointee of the Schools' desire to assist in establishing a mentoring relationship with a Senior Faculty in the School.

Standards. Persons appointed to this position should meet the standards for the position of assistant professor, with the exception of the completion of the doctoral dissertation.

D.1.b. Assistant Professor

Definition. Assistant professor is a tenure-track position, with an initial appointment of four years and the possibility of reappointment for three more years.

Standards.

Appointment. Persons appointed to this position should have demonstrated potential to contribute through teaching, research and service as evidenced by completion of a dissertation, development of articles for publication, establishment of a research focus, and prior teaching experience; the candidate should show promise of progression in rank. The Dean shall advise the appointee of the School's desire to assist in establishing a mentoring relationship with a Senior Faculty member in the School. A decision on reappointment, non-reappointment or promotion must be made no later than the end of the third year of a probationary four-year term and no later than the second year of a three-year probationary reappointment.

Reappointment. Persons reappointed to this position should have demonstrated, prior to the review, substantial progress during the probationary period for meeting the School's standards of teaching, research, and professional service.

D.1.c. Associate Professor

Definition. An initial appointment as an associate professor is ordinarily for a probationary term of five years. However the School may elect to make an initial appointment to the rank of associate professor with permanent tenure. A promotion to the rank of associate professor confers permanent tenure from the effective date of the promotion. Reappointment to the rank of associate professor carries with it the award of tenure from the effective date of reappointment.

Standards.

Appointment. Persons appointed to this position with probationary status typically should have met the School's standards of teaching, research, and service for a period of at least three years at another college or University. A decision on reappointment or promotion (both of which confer tenure) must be made no later than the fourth year after the person's date of initial appointment.

Appointment with Tenure. Appointment of persons to the position of associate professor with permanent tenure is unusual and should be made only in extraordinary situations and when there is no question of the School's confidence in the individual's performance. Written prior approval of the Provost must be obtained for the appointment of an associate professor with tenure.

Reappointment. Persons reappointed to this position, and thus tenured, should have documented evidence of quality performance through teaching, research, and service as evidenced by a sustained publication record, successful completion of scholarship, and demonstrated competence in teaching and service; individuals should show promise of gaining national recognition of their work, but, as judged by the Senior Faculty would not have met the standards for the rank of professor.

Promotion. Persons promoted to this position, and thus tenured, must have documented evidence of quality performance through teaching, research, and service as evidenced by a sustained publication record, successful completion of scholarship, and demonstrated competence in teaching and service. These individuals should show clear promise of gaining national recognition for their work.

D.1.d. Professor

Definition. The position of professor is a tenure-track position. Promotion or appointment to the rank of professor confers permanent tenure on persons who do not already have tenure.

Standards. Persons appointed or promoted to this position should have documented evidence of a substantive level of attainment in teaching, service, and research as

evidenced by a sustained publication record of sufficient quality and quantity, national recognition for their work, and indications of effective teaching and service.

D.1.e. Joint Appointments: Instructor, Assistant Professor, Associate Professor, or Professor

Definition. A person holding faculty rank in the School of Education and at least one other academic unit on the campus of the University of North Carolina at Chapel Hill. A person may hold a tenure track appointment in the School of Education and a fixed term appointment in another academic unit, or a fixed term appointment in the School of Education and a tenure track appointment in another academic unit or fixed term appointments in both units, or a joint tenure track appointment in the School of Education and another academic unit.

Standards. In order to be appointed, reappointed, or promoted to a joint faculty position in the School of Education, the person must have met the standards for the rank for which he or she is being considered in the School and concurrently meet the standards for the same rank in another department. Action must be initiated by the base unit. A joint appointment is not extended simply as a courtesy, but rather is initiated and approved when such an appointment serves to fulfill needs of the School.

D.2. Standards for Fixed Term Faculty Appointment Policies and Procedures

Fixed term faculty members are an important part of the overall instructional effort in the School. They are also increasingly important to the research and service efforts of the School. Fixed term faculty members are appointed for a period of one to five years depending on resources and needs and may be either part-time or full-time. Many have principal or joint appointments in other units of the University. Others are employed full time outside the University in the public schools or other public agencies or in the private sector. All fixed-term faculty appointments, of more than one year's duration, must be recommended by the Senior Faculty of the School of Education. All fixed-term promotions and reappointments must also be recommended by the Senior Faculty of the School.

There are three major categories of fixed term faculty: (1) ranked faculty with terminal degrees in their field (Ph.D. or Ed.D.) who will perform teaching (Clinical) or research (Research) functions for the School; (2) educators or other specialists who may not currently hold the terminal degree in their field but who will perform important teaching, administrative, or research functions for the School (mostly teachers and administrators in the public schools, principally those working in association with the Professional Development Schools Program); and (3) visiting professors.

The School of Education adheres to the standards for recruiting and retaining part-time and fixed-term faculty members for instructional participation in the School's academic

degree and licensure programs (see our accrediting agency standards—National Council for Accreditation of Teacher Education).

D.2.a. Clinical/Research Professorships: Assistant Professor, Associate Professor, or Professor

Definition. Persons appointed to one of these positions should be working in a close continuing relationship with the School of Education. Appointment to such a position is usually governed by the source of funding and by the special nature of the work that will be performed. An initial appointment may be for a fixed term of one to five years. Subsequent appointments of one to five years duration may be made either in direct succession or at intervals.

Standards. Persons appointed to any professorial rank in a clinical or research capacity would be expected to meet the general professional standards at the rank to which they are appointed. A person may be appointed in a clinical or research position if he or she excels in one or more areas (research, teaching, service) without necessarily making contributions in all areas. A clinical or research appointment is not extended simply as a courtesy, but rather is initiated or approved when such an appointment serves to fulfill a well-defined need of the School.

D.2.b. Lecturer: Teacher Associate, Research Associate, Administrative Associate

Definition. A person appointed to this position should be working in a close relationship with the School of Education. Appointment to such a position is usually governed by the source of funding and the special nature of the work that will be performed. Initial appointment may be made for a fixed term of from one to five years' duration. Subsequent appointments of from one to five years' duration may be either in direct succession or at intervals.

Standards. A person may be appointed as an Associate if he or she will make a contribution in one or more areas (research, teaching, service) without necessarily making contributions in all areas. An Associate appointment is not extended simply as a courtesy, but rather is initiated or approved when such an appointment serves to fulfill a well-defined need of the School.

D.2.c. Visiting Professorships: Instructor, Assistant Professor, Associate Professor, Professor

Definition. "Persons other than regular members of the faculty may be appointed as visiting members of the faculty with rank designations, prefixed by the word 'Visiting' appropriate to their status in their regular employment. Such appointments shall be for a term of not more than one year. One successive appointment for a term of not more than one year may be made" (Trustee Policies and Regulations . . .).

Standards. Persons appointed to any professional rank in a visiting status would be expected to meet the same general professional qualifications as a regular appointment to that rank.

Fixed term appointments may be held in academic programs or other centers of the School of Education.

E. Roles of Faculty Members: Definitions and Potential Sources of Documentation of Performance

Traditional roles and responsibilities of a professor in a research university are encompassed in the three categories of teaching, research, and service. Administration may also be an applicable category for some professors. In this section, definitions are given for each of these roles as they pertain to faculty within the School of Education. Following each definition, examples are given of sources of evidence that may be submitted by candidates for review of their performance for the purpose of appointment, promotion, or tenure at any faculty level.

E.1. Teaching

E.1.a. Definition.

Teaching is any activity or function performed by a teacher on behalf of students and their learning that is a part of the individuals formally assigned responsibility by the Dean or the Dean's designee. Teaching may involve university courses, workshops for practicing professionals, PDS or other staff development/teaching activities, demonstration of teaching principles to children and youth (birth through grade twelve), continuing education courses for practicing professionals, or graduate student seminars. Teaching includes:

- Formally assigned instructional processes such as facilitating student discussion, independent studies, student program advising, thesis and dissertation advising, lecturing, and planning activities.
- Supervision of students such as mentoring and coordinating field experiences of students in practica, internships, or other clinical/field-based activities as well as collaborating with and providing training to field based supervisors (practicing professionals).
- Planning and related curricular endeavors such as keeping current in teaching specialties by revising curriculum, developing new courses, developing and implementing on-line courses and seeking, receiving, and coordinating grants to support instructional activities.
- Communication and coordination activities such as sharing course materials with students, field based and university colleagues; collegial mentoring

activities, planning the curriculum and course offerings for a program area; participating in or implementing on-line courses, and serving as a curriculum consultant to or visiting professor in other departments or institutions.

E.1.b. Evidence.

The following sources of information about quality of teaching include those that must be submitted for credentials for reappointment, promotion, or tenure. If there is no such information, the candidate must provide an explanation.

E.1.c. Required Materials.

A teaching portfolio with seven sections: statement of philosophy of teaching; a copy of the most recent summary statement of program goals; personal goals and plans for teaching enhancement; student evaluations for all courses taught on the quality of teaching (including guest lectures) and supervision from School of Education evaluation forms; classroom observation documents; reports from co-teachers and co-supervisors; and other documents and products, including course materials (e.g., syllabi, examinations, original teaching materials), a list of honors, masters, and doctoral committee work, and copies of honors theses, masters theses, and doctoral dissertations directed.

E.1.d. Optional Materials

- Evidence of innovation in teaching methods, course content, other learning experiences, curriculum development or revision, or contributions to educational theory.
- Evidence that contributions to teaching are being adopted or are affecting teaching programs in other departments, schools, or institutions.
- Evidence of impact of teaching on the professional careers of former students, colleagues, and junior faculty.
- Awards received in recognition of outstanding teaching.
- Invitations from other institutions to serve as lecturer, staff developer, or visiting professor.
- Invitations to serve as a consultant in educational programs and methods.
- Grants to support and enhance instructional activities (where these can be construed as an individual faculty member's accomplishments in teaching).
- Efforts to improve teaching through acquisition of new skills, attendance at workshops, seminars, etc., should be noted.

E.2. Research/Scholarship

E.2.a. Definition.

Research is defined as those activities associated with the systematic generation or verification of knowledge undertaken by individuals and collaborative groups. Research/scholarship generates conceptions, theories and models, philosophies, or other scholarly products that stimulate research and practice of others. Included under research/scholarship are studies that are empirical but not limited as such and that rely on appropriate authoritative sources.

E.2.b. Evidence.

Competence, accomplishment, and reputation in research/scholarship are documented through evidence such as the kinds listed below. The following are demonstrations of evidence in both quantity and quality of research/scholarship and must be submitted by an individual for appointment, re-appointment, tenure, promotion, and merit decisions. The list is divided into two categories, with the first containing more commonly accepted forms of research/scholarship, and the second containing less commonly accepted forms. The items in the second list may require additional justification as forms of research/scholarship.

- Articles published or in press in refereed or nonrefereed journals, including electronic communications.
 - Awards and fellowships for completed and proposed research.
 - Books, monographs, research reports and chapters therein published or in press.
 - Conference papers presented.
 - Research grants funded.
 - Reviews of books, articles, or other research/scholarly products published or in press.
-
- Published curriculum.
 - Manuscripts and grant proposals submitted.

- Media presentations.
- Works in progress.

E.2.c. Standards.

Standards of research quality include criteria such as these: peer review, professional acclaim through use, citation, and invited presentation, all of which requires documentation.

E.3. Professional Service

E.3.a. Definition.

Professional service is defined as those paid and non-paid activities that provide assistance to The University of North Carolina at Chapel Hill, the School of Education, North Carolina schools, and the professional community. Service is a part of an individual's formally assigned responsibilities assigned by the Dean or the Dean's designee. The following examples of professional service are not intended to be exhaustive.

- Advocating for educational policies or demonstrating leadership in groups devoted to such advocacy.
- Consulting or other contributions to a Professional Development School site or Professional Development School partnership-wide initiative that do not fall in the teaching or scholarship areas.
- Contributing to local, state, regional, and national education-related groups or committees for program planning, program implementation, and policy making.
- Designing and presenting professional development programs for teachers and other professionals in North Carolina schools and other educational organizations.
- Helping professional organizations plan, organize, conduct, or review programs and conferences appropriate to the area of specialization.
- Implementing, organizing, or operating systems for the delivery of educational services for the improvement of education.
- Organizing and contributing to efforts by schools to improve student achievement.
- Publishing papers that do not fall into one of the research/scholarship categories.

- Reviewing professional books, articles, conference proposals, and grant proposals for public or private funding agencies as a member of an advisory board or an independent reviewer.
- Reviewing tenure applications from other institutions.
- Working on all School and University committees and administrative appointments and assignments.
- Working with the College of Arts and Sciences on joint efforts to improve education of teachers.

E.3.b. Evidence.

The following sources of information must be provided. The list is not exhaustive. The candidate may be expected to document elements of service that are substantive. Various forms of documentation are acceptable. The impact and the potential for impact the professional service has on professional practice are considered when reviewing the evidence (e.g., involvement in programs or projects that require continuing participation over time).

- Community service
- Description of service to the schools.
- Grants and contracts received to provide service.
- Honors and awards received in recognition of outstanding service contributions.
- Information from recipients of services as to the quality, duration, and impact.
- Election or appointment to state, regional, and national committees of recognized importance for educational policy.
- School and University committees.
- Publications related to service activities (e.g., project reports, reports of consultation activities, or committee reports).
- Service on editorial review boards or guest reviews.

E.4. Administration

E.4.a. Definition.

Administration is defined as those activities associated with leadership, management, and/or financial direction of an academic or other organizational unit of the School. These units are typically identified in an administrative organizational chart. Their leaders hold such titles as chair, coordinator, director, or associate dean, and are officially designated by the Dean. Administrative activities may include: determination and/or facilitation of policy or other decisions affecting the unit; leadership/management and evaluation of unit faculty and staff, responsibility for program development, management, and operations for the unit; responding to the needs and concerns of students or other constituents of the unit; and financial responsibility for the unit's activities or for securing funding for the unit.

E.4.b. Evidence

Sources of information should be provided which can enable reviewers to make an informed judgment about quality of performance with respect to the major administrative responsibilities of the position. In this regard, a clear description of those responsibilities as provided by the administrator or the Dean (as appropriate) is a necessary prerequisite for evaluation. Evidence may be obtained from multiple sources including the administrator, fellow or senior administrators, faculty, students, and staff of the administrator's unit, publics served by the unit, etc. In all instances, the focus of the evidence should be on the quality of administrative performance. The following list is not exhaustive but includes the types of evidence that might be submitted.

- Administrator's summary of major administrative activities and accomplishments and their importance/relevance to the unit, School, University, or other constituents served by the unit.
- Awards or other recognition for administrative accomplishments.
- Evidence of facilitating program coordination/development activities.
- Evidence of financial or other support generated for the unit.
- Evidence of fiscal accountability of the unit.
- Reports submitted to supervisors and/or external agencies.
- Surveys or other systematically collected data from faculty, students, and/or staff about perceived performance level with respect to the major administrative responsibilities of the position.

F. Procedures on Faculty Personnel Decisions

F.1. Procedures on Appointment

Appointments to either tenure track or fixed term appointments within the School of Education should be made so as to be consistent with the mission of the School and with the strong belief that the individual appointed will be able to meet the expectations for the position. The School of Education considers the professional, personal, and collegial needs of the School in making appointments.

F.1.a. University Procedures on Appointment

Appointments are made so as to be consistent with the University's EPA Employees Equal Opportunity Plan and with all University documents governing appointments. The University's equal employment opportunity policy is covered in the following statement:

The University of North Carolina at Chapel Hill reaffirms the policy of this institution with respect to equal opportunity. Employment at the University is administered without regard to race, color, national origin, religion, creed, sex, age, sexual orientation, veteran status, or disability status. The University's non-discrimination policy extends to recruitment, selection, hiring, compensation, promotion, training, and all other aspects of employment . . . The University bases employment decisions on the principle of equal opportunity, and ensures that all employment related decisions are in accord with the principles of equal opportunity.

Detailed procedures for accomplishing the equal employment opportunity plans for initial appointments are presented in the University's Equal Opportunity Employment Plan and will not be reproduced here. Generally, consistent with the University's Equal Opportunity Employment Plan, the following procedures will be used in recruiting and hiring individuals to an initial appointment. All tenure track faculty openings are appropriately advertised. A pool of applicants is developed. A list is made showing race and sex of each applicant. The determination of those who will be interviewed leaves a selection of candidates representative by race and sex who remain qualified at this stage of the process, and, if not, the selection process should have been so conducted as to assure that minority and female candidates who have been eliminated from further consideration are less qualified than those candidates remaining in consideration. The determination of the person(s) to receive an offer of employment is made in accordance with the principles of equal employment opportunity, including salary offers that, though they may differ, are not affected by the race or sex of the candidate.

F.1.b. School of Education Procedures on Appointment

Candidates will be evaluated according to the School of Education policies specified in this document. Copies of these regulations are filed in the Dean's office and are provided to each new faculty member upon their appointment to a position with the University.

When a position is available in the School, either through allocation or reallocation by the Provost, the Dean determines the rank and area in which the person will serve. The Dean then appoints an ad hoc search committee to screen applicants for the position. The School's equal employment opportunity officer is an *ex officio*, non-voting member of every School search committee. The program/licensure area is responsible for providing a job description and criteria for employment, subject to the approval of the Dean.

The search committee develops a strategy for recruitment. The School submits the recruitment plan to the Equal Employment Opportunity office.

Consistent with University policy and procedure, the position is then advertised. Applications are collected and arranged by a "search secretary."

The search committee reviews applicants and develops a short list. The committee must use the job description criteria for employment in making distinctions among applications for the purpose of excluding applicants from further consideration. It is expected that a vita will be available to the search committee at the first consideration of applications, and letters of reference are generally required of semifinalists and finalists. All candidates not eliminated based upon criteria become candidates for appointment. The search committee then prepares a list ranking the top candidates, and the Dean, in consultation with the search committee chair, invites candidates for interviews.

An interim affirmative action statement is filed at the Equal Employment Opportunity office.

Selected applicants visit campus. The search committee makes available to the faculty the resume and other pertinent documents of each candidate. Generally, all candidates make an oral presentation to the faculty during their visit to the campus.

The search committee requests written faculty input on the candidates and prepares a report with a list of finalists for the Dean. The search committee's report should list strengths and weaknesses of the finalists, and may or may not prioritize candidates for the position. Further, the search committee should provide information on its recruitment procedures as part of its report.

The Dean makes available to the Senior Faculty the report of the search committee and the Dean's recommendation for the position. The chair of the search committee verbally presents the report to the Senior Faculty. The Senior Faculty advises the Dean after considering the search committee report and the Dean's recommendation. All decisions affecting tenure track appointments must be by

paper ballot of the assembled professors on Senior Faculty. Voting for other positions does not necessarily have to be by paper ballot. No absentee ballots are acceptable.

After receiving the advice of the Senior Faculty, the Dean contacts the applicant recommended to seek approval to submit his/her nomination. The Dean submits the final Equal Employment Opportunity statement for approval. The Dean prepares appointment papers which are then submitted to the Provost for further review.

Once an appointment has taken place, and an individual has assumed a position on the faculty of the School of Education, it is the responsibility of the Dean or the Dean's designee at the time of the initial appointment to explain the School of Education's personnel procedures and those of the University. The Dean should convey to the new appointee that it is the responsibility of that faculty member to become informed about the policies and procedures concerning personnel matters, to seek guidance as necessary and to be clear about the institutional process in personnel matters. A written record that this conversation occurred is placed in the faculty member's personnel file.

Joint appointments are governed both by University procedures and by School of Education policies. It is expected that when an initial joint appointment is made, the procedures specified in the Faculty Code of University Government will be followed. At the time of an initial joint appointment, one unit must be designated as the unit of base appointment.

F.1.c. Other Appointments

Under certain circumstances a tenure track faculty appointment may be made as a primary appointment in the School of Education supported by funds outside the instructional budget of the School of Education. All such appointments must satisfy the same recruitment, employment, affirmative action, promotion, continuation, and other faculty appointment policies of the School and University. Funds supporting such positions must be continuing state funds outside the instructional budget but within the School or University budget in a non-instructional unit.

Appointees must be full-time employees of the University of North Carolina at Chapel Hill, they must be fully qualified for a faculty position in the School of Education, and be appointed by a letter clearly stating that "the appointment is contingent upon continuing state funds outside the instructional budget of the School of Education" and clearly stating the source of continuing state funds as certified by the head of the non-instructional unit.

Responsibilities of such appointees include as a minimum a three semester hour teaching load or its equivalent, participation in all School of Education activities, and meeting the same teaching, research, and service performance standards for continuation and promotion as regular full-time tenure track faculty members in the School of Education.

Such appointees may be eligible to compete for full-time tenure track appointments on the regular instructional budget of the School of Education under the University's recruitment and affirmative action procedures but may never be "transferred" to such positions.

It is not permissible for such appointees to hold joint appointments in other instructional units of the University.

Recommendations for such appointments must be made by at least one program area faculty in the School of Education or by the Dean in consultation with the program area to which the faculty member would be assigned.

F.2. Procedures on Promotion/Reappointment/Tenure

F.2.a. University Procedures

The University's policies and procedures governing all reappointments, promotion, and tenure decisions are specified in the The Code of the Board of Governors, the Trustee Policies and Regulations Governing Academic Tenure, the Faculty Code of University Government, and in the Affirmative Action Plan and Report. All University policies are adhered to by the School of Education.

F.2.b. School of Education Procedures

The following procedures are the approved School of Education procedures for faculty who are reviewed for promotion, reappointment, or tenure. It is the responsibility of the faculty member to be knowledgeable of, and to adhere to, these procedures. The Dean or the Dean's designee will provide each probationary faculty member with the criteria for evaluation of faculty performance as specified in the Policy Notebook before initial employment and at the beginning of the first term of employment. The Dean or the Dean's designee will also review these criteria with each candidate being reviewed for reappointment or tenure at the beginning of the year in which the review is scheduled or in the semester preceding the review. A record of these discussions will be kept in the individual's personnel file.

F.3. Timelines on Reviews

University tenure-track review requirements are followed by the School of Education. The University requirements for periodic review of all tenure track faculty are as follows. Any time an individual is on leave or off-campus assignment, this time is counted as part of the time since the last review.

F.3.a. Required Timeline for Mandatory Reviews of Untenured Assistant Professors

When an untenured assistant professor is appointed initially as assistant professor for a probationary term of four years, a review is done during the third year in rank, and no less than 12 months before the end of such term a decision is communicated in writing to the individual as to whether he/she will be reappointed upon expiration of the current term. If a decision is made to reappoint at the rank of assistant professor, the next review is done during the sixth year in rank as assistant professor, and no less than 12 months before the end of such term, a decision is made and communicated in writing to the individual as to whether he/she will be reappointed upon expiration of the current term.

F.3.b. Required Timeline for Mandatory Reviews of Untenured Associate Professors

When an untenured associate professor is appointed initially as associate professor for a probationary term of five years, a review is done during the fourth year in rank, and no less than 12 months before the end of the term, a decision is communicated in writing to the untenured associate professor as to whether he/she will be reappointed upon expiration of the current term.

F.3.c. Required Timelines for Mandatory Reviews of Tenured Assistant and Associate Professors

Effective July 1st, 2004, University policy requires review of all tenured Assistant and Associate Professors no less often than every five years following the conferral of permanent tenure. At the time of mandatory review, tenured Assistant and Associate Professors may elect to seek promotion.

Mandatory reviews for individuals who do not seek promotion, as required by the University, are full-scale internal reviews following all procedures (except solicitation of external review letters) and timelines normally used for promotion review.

G. Reappointment, Tenure, and Promotion Review: Participants' Responsibilities/Timelines

The following timeline applies to July 1st appointments. A parallel timeline is used for reviews that can happen in the spring semester due to January 1st appointments.

G.1. Spring: Dean's Responsibilities

The Dean or the Dean's designee will notify in writing any faculty for whom a review is mandatory that a review is to be conducted during the following academic year. For fall reviews, the deadline for such notification is January 30th of the preceding spring. For spring reviews, the deadline for notification is August 30th. The Dean or the Dean's designee informs the candidate about information that is required, including the following:

- For an Associate Professor, a written statement from the individual saying whether he/she wishes to be reviewed for promotion or not;
- a professional statement about the individual's research, teaching, service, (and optionally, administration);
- two copies of all supporting materials (as outlined in a previous section of this Policy Notebook);
- a table showing, by semester, courses taught, number of students, and School of Education mean ratings for the instructor and for the course;
- (for fall reviews, by April 1st preceding the review, and for spring reviews, by November 1st preceding the review) submit names of at least six potential external evaluators (usually full Professors at other universities) (except that external evaluators are not required for individuals seeking reappointment as Assistant Professor and Associate Professors undergoing mandatory review but not seeking promotion), along with addresses, phone numbers, and email addresses if available, as well as a brief statement of how the candidate knows the individual (--the candidate may list faculty at UNC-Chapel Hill outside of the School of Education as external evaluators);
- a folder containing 12 sets of the following materials (in the order listed) which are forwarded (along with other materials) to the Provost's office (the following are all required by the university, exactly as listed below):

1. Form AP-2 Please put a tab on this and label it. (The SOE Business Office will give this to you.)
2. Curriculum Vita: Please put a tab on this and label it. Include at least the relevant information on line 7 of the AP2 form.
3. Teaching Documentation of the following: (Please make a tab for this and label it.)
 - a) Reflective Statement (Please make a tab and label.): Put your teaching philosophy here.
 - b) Teaching Activities (Please make a tab and label): List courses taught each semester for the past three years and the number of students taught by section.

Give the names of graduate students supervised, thesis titles, and completion dates for degree work since employment at UNC-CH.

Give the names of undergraduate students' honors projects supervised, titles, and completion dates since employment at UNC-CH.

- c) Teaching Evaluations (Please make a tab and label): Summaries should be provided showing quantitative data that evaluates the teaching effectiveness.

(Do not include individual student evaluations or grade sheets.)

- d) Peer Evaluations: (Place tab here too.): Place a copy of your teaching observation report here.

Furthermore, the Dean or the Dean's designee should notify each person who is to be reviewed the options that are available to the School as follows:

Assistant professor

- (a) promotion, reappointment or non-reappointment for first-term assistant professors (generally, 4 year probationary-term appointments);
- (b) promotion and tenure or non-reappointment for second-term assistant professors (3 year probationary term);
- (c) in exceptional circumstances, reappointment with tenure at the rank of assistant professor for second-term assistant professors.

Associate professor

- (a) reappointment with tenure or non-reappointment for untenured associate professors;
- (b) promotion from associate professor to professor;

By April 1st preceding the academic-year semester of the review (and by November 1st for spring reviews), the Dean in consultation with the appropriate Program Coordinator, except in those cases where the Coordinator is the candidate, appoints a separate ad hoc committee consisting of at least three members of the Senior Faculty to review each candidate's credentials. Members of this committee should be selected on the basis of their ability to evaluate the individual's credentials. The committee is charged with the responsibilities outlined in sections that follow this paragraph.

By April 15th for fall reviews (and by November 15th for spring reviews) the ad hoc committee recommends to the Dean five individuals external to the School of Education faculty to review and evaluate the credentials of the candidate. These external reviewers may be selected from those submitted by the candidate, names generated by the committee, the Dean, or from a combination of these sources. However, at least four letters from external evaluators must be included in the review materials, and at least two of these four must be from individuals not named on the candidate's list.

By May 1st for fall reviews (and by December 1st for spring reviews) the Dean writes to the reviewers asking them to evaluate the candidate's professional contributions, national reputation, and/or promise to attain a national reputation. Due dates for receipt of external letters for fall reviews is August 15th (and for spring reviews it is January 15th). The following form letter is used:

Dear _____:

On behalf of the School of Education faculty at the University of North Carolina at Chapel Hill I would like to thank you for your willingness to serve as an external reviewer for Professor _____. Professor _____ is being considered for promotion to the rank of _____ (with tenure). Professor _____'s assignment involves teaching (40%), research/scholarship (40%), and service (20%).

Enclosed are Professor _____'s curriculum vita, professional statement, and examples of (his/her) published work. Based on your review of the materials, we would appreciate a letter detailing your judgment of these writings and of the candidate's overall scholarly program including: 1) the merit of the work; 2) the originality of the work; 3) its importance in (his/her) specialization area, and 4) *(one of the following two options is chosen according to whether the individual is seeking tenure and promotion to Associate Professor or promotion to Professor)* (the extent to which Professor _____ shows promise of gaining national recognition in his/her field as well as his/her potential for continued productivity.) -or- (Professor _____'s national reputation in the field.) Please keep in mind other faculty in this field at the same stage of career development as you formulate your responses. We welcome any additional comments you may wish to offer about Professor _____'s teaching and service as well.

In your letter of assessment, please indicate any familiarity you may have with the candidate. Also, please attach a copy of your curriculum vita.

The Senior Faculty in the School of Education will read letters from all external reviewers. You should be aware that under current policies of this institution, peer evaluations, such as that being requested of you, are regarded as confidential within limitations imposed by law. They are for limited use within the University. However, North Carolina state law provides that such written evaluations become part of the personnel file of the individual. As such, they become open by petition of the faculty member about whom they are written.

I am requesting that you return your review, along with your vita, in the enclosed self-addressed envelope no later than _____. We appreciate your commitment and time to the evaluation process. If you have any questions, please contact me through my assistant, _____ at (919) 843-4565 or via email at _____.

Sincerely,

Dean's Signature

Enclosures:

Materials sent to reviewers include the candidate's professional statement, vita, and materials selected by the candidate plus those that the ad hoc committee may add. Ad hoc committee submission of materials to go to external reviewers are due April 15th for fall reviews and November 15th for spring reviews.

G.2. Spring/Summer: Individual's Responsibilities

Individuals seeking review who are not subject to mandatory review must request a review in writing by January 30th preceding the academic fall semester in which the review is to take place. For spring reviews, the deadline is August 30th preceding the review date.

Associate Professors who wish to forego review for promotion at the time of a mandatory review must make that request in writing to the Dean by January 30th preceding the academic year in which the review would take place. For spring reviews, the deadline is the preceding August 30th.

For fall reviews, by April 1st preceding the review, submit names of at least six potential external evaluators. For spring reviews, the deadline for submission of names is November 1st preceding the semester of review.

G.3. August-September: Individual's Responsibilities

On or before August 15 the candidate must submit all materials (other than the list of external reviewers) to the Business Manager's office. One complete set is used by the review committee. The other is made available to the Senior Faculty in a space designated for credentials.

G.4. August-September

The Dean or the Dean's designee alerts the Senior Faculty to the names of individual faculty who will be reviewed.

The Dean or the Dean's designee informs the candidate and the senior faculty of the members and chair of the ad hoc committee.

The Dean or the Dean's designee encourages the faculty to provide the chair of review subcommittees with relevant information pertaining to the reappointment/promotion criteria in advance of the preparation of the report. Information must be provided in writing, and the written document must be signed. A copy of the document must be given to the Dean and the candidate. The candidate may respond within two weeks of receipt of the written document if he/she so wishes. A candidate's response must be in writing and signed. Copies of both the original written information from a faculty member and the candidate's response must be placed with the candidate's materials for faculty review.

The Dean or the Dean's designee writes the candidate's Program Coordinator requesting his/her evaluation of the candidate's work.

G.5. Fall: Program Coordinator's Responsibilities

The Program Coordinator submits to the Dean an evaluation of the work of the candidate being considered for reappointment, promotion, or tenure at least four weeks prior to the Senior Faculty meeting. This document is forwarded to the ad hoc committee and placed with the candidate's materials.

G.6. Fall: Ad Hoc Committee and Dean's Responsibilities

Other duties of the ad hoc committee/Dean or Dean's designee are:

- Assembling to discuss the candidate's credentials
- Determining if additional sources of evidence, including relevant information about the candidate obtained from the faculty, are needed or desired, and requesting or obtaining such information. Responsibility for providing evidence, however, may reside with the candidates and they will be so informed. In all instances, the candidates will be informed if additional information is being sought by the committee or is brought to the committee by members of the faculty.
- Completing an evaluation of all materials submitted by the candidate and submitting a written report summarizing the evaluation with a recommendation approximately three weeks prior to the Senior Faculty meeting;
- Giving the report to the Dean
- (The Dean or the Dean's Designee is responsible for) giving the candidate the report at least three weeks prior to the meeting of the Senior Faculty and affording the candidate one week to respond in writing to the report and giving copies of candidate's response to the Senior Faculty two weeks prior to its meeting.
- Recommending the individual's status on the Graduate Faculty if appropriate;
- (The chair of the committee is responsible for) ensuring that letters from external reviewers are filed with the candidate's materials

G.7. Late Fall: Completion of the Review Process

At least two weeks before the first day of the personnel review meeting of the Senior Faculty, all Senior Faculty should be reminded by the Dean or the Dean's designee: (1) who is to be reviewed and (2) the location of all documents. It is the responsibility of

all Senior Faculty members who intend to vote on the candidates to review the materials prior to the Senior Faculty meeting. A log will be placed with the materials so that Senior Faculty members may indicate the date and time of their reviews.

The assembled Senior Faculty will assume the responsibility of advising the Dean after having heard the presentation of the ad hoc committee's evaluation of the candidate's credentials and having heard the program chairperson's evaluation. The advice to the Dean may be both oral and by vote. Great care should be taken during the Senior Faculty meeting to prevent the presentation of new, adverse information to which the candidate has not had a prior opportunity to respond. All voting on tenure track appointments must be by paper ballot. Senior Faculty members who have not completely reviewed materials should abstain from voting on the candidates.

The order of review in the Senior Faculty meeting shall be candidates in tenure track appointments, beginning with assistant professors (or instructors, if there are any), and then associate professors, followed by individuals in fixed-term appointments, following the same order. The deliberations of the Senior Faculty are confidential. Minutes of this meeting should provide a summary of the discussion so as to provide an accurate record of the proceedings.

If during the review of the candidate's credentials, the matter of possible ethical misconduct on the part of the candidate arises, the committee is directed to investigate any potential improprieties through discussion with the candidate and other appropriate persons. Should this investigation find these concerns groundless, the committee should proceed with its evaluation. However, if the investigation reveals evidence to support a charge of ethical misconduct, the Dean should be so informed. If the Dean agrees that there is misconduct, the faculty member should be so informed. Concerns about ethical improprieties must be clarified prior to completion of the review of the candidate's credentials.

The intent of the following two sentences, (a) and (b), is to afford the candidate an opportunity to respond to any and all evidence and allegations bearing on that candidate's fitness for promotion or tenure.

- (a) The full report of the ad hoc committee shall be presented to the candidate by the ad hoc committee at least three weeks prior to the meeting of the Senior Faculty.
- (b) The candidate will have one week to respond in writing to the report, and copies of this response will be available to the Senior Faculty two weeks prior to its meeting.

The Dean shall prepare a cover letter to accompany a set of materials required by the Provost's Office. The Dean shall share the entire contents of this letter concerning the candidate's promotion and/or tenure decision with the Senior Faculty and with the candidate prior to its submission, together with other materials, to the Provost and the

University Subcommittee on Instructional Personnel (the Committee on Professional Schools).

The Dean will forward the materials to the Provost's Office by the specified date, usually in January. The University Subcommittee will advise the Provost whether or not to accept a positive recommendation. The subcommittee or the Provost must also receive all negative decisions and may, apart from any request for a formal reconsideration by a faculty member, seek more information from the Dean on the reasons for any negative decision.

If the Dean makes a negative decision, a meeting with the faculty member should be held, if requested, as outlined in the Trustee Policies At that time the candidate should be informed of the nature and structure of the appeal process should the individual choose to appeal the decision of the Dean.

H. Factors to be considered by the Ad Hoc Committee

When evaluating the credentials of an individual the following factors should be considered by the ad hoc committee:

H.1. Teaching

- Evidence of innovation in teaching methods, course content, other learning experiences, curriculum development or revision, or contributions to educational theory.
- Teaching portfolios.
- Scholarly publications concerning teaching.
- Evidence that contributions to teaching are being adopted or are effecting teaching programs at other institutions.
- Evidence of impact on the professional careers of former students, colleagues, and junior faculty.
- Awards received in recognition of outstanding teaching.
- Invitations from other institutions to serve as lecturer, trainer, or visiting professor.
- Invitations to serve as consultant in educational programs and methods.
- Grants to support instructional activities (where these can be construed as an individual faculty member's accomplishments).
- Evidence that individuals are working to improve their instruction.

H.2. Research

- Scholarly reputation of the journals in which publications appear, including the reputation of publishers of books and monographs, as well as the refereed character of journals.
- Independent judgment of recognized experts concerning the quality of the research.
- Published evaluation of the research (as in book reviews, responses in print, etc.).
- Evidence that research has stimulated the work of other researchers or provided new breakthroughs in the field.
- Evidence that other scholars are paying attention to the research including citation of the research in other publications.
- Impact of research on educational practice.
- Selection as editor or reviewer for scientific publication and grant evaluations.
- Appointments to serve on scientific review or advisory committees are based on research accomplishments.
- Appointments to serve as research consultant.
- Grants and contracts awarded to conduct research.
- Proposals submitted for grants and contracts.

H.3. Service

- Contributions have had important effect on the organization's policies and programs and/or have made contributions to education in other ways.
- Activities involved or resulted in the creation or development of new systems for the improvement of the education.
- Service activities contributed to the research and teaching activities of the faculty member and/or the school.
- New knowledge, methods, or policies derived from the service diffused to other organizations or communities.
- New information was disseminated through publications in scholarly journals and/or books.

- Honors and awards received in recognition of outstanding service contributions
- Invitations extended by other institutions or organizations to help plan, organize, or review similar activities.
- Appointment to national committees related to the service activities.
- Grants and contracts received to provide service.
- Nature and impact of services provided to local schools.

I. Review of Fixed-Term Appointments

The Program Coordinator will provide a written report on the continuing needs of the School, the qualities of the particular individual to fulfill the need, and the quality of the person's performance under their current School of Education appointment, for review by the ad hoc committee, Senior Faculty, and Dean.

If the candidate wishes to be considered for promotion in the fixed term rank, all procedures pertaining to tenure track appointments should be followed with the exception that external reviews will not be required. External reviews, however, may be obtained depending upon the nature of the appointment or the duties or functions to be evaluated.

For reappointment in fixed terms, all procedures pertaining to tenure track appointments should be followed, with the exception that external reviews will not be required and that the Program Coordinator may carry out the responsibilities normally assigned to the ad hoc Senior Faculty committee.

For individuals in fixed term positions appointed to fulfill a specific need of the School, decisions on reappointment or promotion should relate directly to the performance of the individual in relation to the specific reasons for initial appointment, and to the continuing needs of the School.

J. Annual Review of All Faculty

Procedures have been established for annual review of all faculty to provide advice and support to faculty members with regard to their teaching, research, and service competence and to assist the Dean in determining merit salary increases. The annual review is completed by Program Coordinators under the supervision of the Senior Associate Dean. Program Coordinators review individual faculty annual reports and share their recommendations regarding merit with the faculty member. When a faculty member is a member of more than one program, the Senior Associate Dean will designate the Program Coordinator who should review the faculty member's annual report. Individual faculty should sign the report and recommendations from the Coordinator. The Coordinator will forward his or her recommendation to the Dean. If the faculty member disagrees with the Coordinator's recommendation he or she may appeal to the Dean. The Senior Associate

Dean will meet with the Program Coordinators to review their annual reports and make recommendations for merit to the Dean.

Specific procedures are as follows:

J.1. The format for collecting information follows the University annual report form including, or as well as, the following:

J.1.a. information over a three-year period to insure that a balanced picture of productivity is collected;

J.1.b. copies of published work for the most recent year;

J.1.c. all student course evaluations; and

J.1.d. professional development projections.

J.2. Review of faculty annual reports will proceed as follows:

J.2.a. individual faculty will submit two copies of the annual report to the Associate Dean and one to the Program Coordinator;

J.2.b. Program Coordinators will review the annual reports of their faculty with faculty development objectives in mind, and they share recommendations regarding merit with the faculty member;

J.2.c. professional development plans are discussed by the Program Coordinators with the individual faculty members based on the annual report and course syllabi;

J.2.d. for untenured Assistant Professors, the Program Coordinator writes an evaluative statement;

J.2.e. faculty sign their annual reports and Program Coordinators' recommendations (and in the case of untenured Assistant Professors, the Program Coordinator's evaluative statement);

J.2.f. the Program Coordinator forwards the recommendation (and optional written evaluation) to the Dean;

J.2.g. if the faculty member disagrees with the Coordinator's recommendation, he or she may appeal to the Dean;

J.2.h. if there is a subsequent need for merit reviews for salary purposes, the Dean will request rankings from the Program Coordinators;

J.2.i. the Associate Dean will meet with the Dean to review the Program Coordinators recommendations and make recommendations to the Dean;

J.2.j. the Associate Dean will meet with the Program Coordinators to review their annual reports and make recommendations to the Dean; and

J.2.k the Dean will review Assistant and Associate Deans.

K. Special Annual Evaluation of Untenured Tenure Track Faculty

University procedures require an annual evaluation by the Dean of all tenure track faculty members who are untenured. A written record of this evaluation is given to each faculty member after a meeting in which verbal feedback is given to the faculty members. These evaluations take place each fall.

L. Graduate Faculty Status

Tenure track faculty automatically hold regular membership to the graduate faculty. Following the recommendation of the Program Coordinator, the School of Education Senior Faculty determines the range of graduate faculty activities for individual faculty, including regular graduate faculty status, according to the School of Education criteria and following Graduate School guidelines.

The recommendation of regular membership to the graduate faculty for non-tenure track individuals follows the procedures described above. Once the School of Education faculty approve the recommendation, the Dean or the Dean's designee will forward the recommendation to the Graduate School. If approved, the appointment to regular membership is for the duration of the faculty member's current position, including reappointment and promotion.

M. Review of Full Professors

During every five-year cycle beginning with the year 1998-99, all full professors are reviewed.

A School of Education Post-Tenure Review Committee is elected by the faculty. The slate consists of the names of all Full Professors and Associate Professors. There are five committee members. Committee members are all tenured faculty. Staggered terms ensure continuity on the committee. A subcommittee of three members (from the total of five) conducts individual faculty member reviews. The faculty member may request a change in one member of the designated subcommittee.

Full Professors who undergo review are advised by the Dean or the Dean's designee of the upcoming review as early as possible, but in no event later than April, and at least six months, preceding the academic year of the review.

Each Full Professor being reviewed should provide a concise summary of accomplishments, plans for the next five years, and School of Education assignments for the past five years. In addition, the following documents should be provided: vita, sample

publications, peer teaching observation report, teaching evaluations, and other documentation of contributions and accomplishments.

The subcommittee sets deadlines for receipt of the faculty member's materials with the faculty member and provide the projected date for their report.

The subcommittee prepares a report summarizing its findings and recommendations (where appropriate). The faculty member being reviewed is afforded an opportunity to review the report and provide a written response to the Committee within two weeks. A final draft is submitted to the Dean for review before the Dean sends the report to the faculty member under review.

The faculty member being reviewed is afforded an opportunity to review the final report and provide a written response to the Dean within two weeks. Such written comments are included in the faculty member's confidential personnel file, along with the final report.

When the unit head is being reviewed, the administrative officer at the next higher level assumes the function of the unit head in the review process.

In the event that the subcommittee concludes that the faculty member being reviewed has a record of overall performance that reflects substantial deficiencies, the Dean meets with the faculty member and establishes a development plan designed to assist the faculty member in addressing such deficiencies. The development plan includes clear goals, specifies steps designed to achieve those goals, defines indicators of goal attainment, establishes a clear and reasonable time frame for implementation of the plan, and states the consequences of failure to attain the goals. In the event that a development plan is established, the faculty member in question is reviewed on an annual basis by the review committee until such time as the faculty member being reviewed demonstrates successful completion of the development plan.

In the event that faculty members being reviewed are found to have evidenced outstanding overall performance, the Dean recognizes their performance through positive forms, including but not limited to, nominations for awards.

Faculty members found to have substantial deficiencies in performance may appeal such findings and related provision of developmental plans within 30 days of receiving a final letter including such findings and attaching a finalized development plan. Appeal rights are as provided for in the University's policy of post-tenure review.

All matters relating to post-tenure review are confidential. All members of review committees take seriously their obligation to observe this arrangement.

As provided in the University policy, the Dean files annual reports to the Office of the Provost specifying the names of faculty members reviewed during the previous year, the names of faculty members for whom a development plan was recommended and established, and the names of faculty members who were subject to review in that year, but for whom a delay was requested (along with the reasons for the delay).

N. Faculty Merit Review Policy

Individual faculty members submit their annual reports electronically by April 15th and by paper copy to the Dean and their designated program coordinator. (See below.) Program coordinators review individual faculty annual reports and share their recommendations regarding merit with the faculty member. When a faculty member is a member of more than one program, the Senior Associate Dean designates the program coordinator who should review the faculty member's annual report. Individual faculty sign to indicate that they have received the recommendations from the coordinator. The coordinator forwards his or her recommendations to the Dean. If the faculty member disagrees with the coordinator's recommendation, he or she may appeal to the Dean. The Senior Associate Dean meets with the Program Coordinator in the Graduate Studies and Professional Studies Division to review their annual reports and make recommendations for merit to the Dean.

V. Faculty Policies, Resources, and Support Services

A. Faculty Policies

A.1. Faculty Meetings

Faculty meetings in the School of Education are held at least twice each semester during the academic year. A specific schedule for faculty meetings and meetings of other School of Education standing committees is established each year by the Dean. Every effort is made to hold these meetings at a reserved time (currently Wednesday afternoons) so that faculty can plan to attend.

Minutes of the faculty meetings are kept in the Dean's office. The major business of the faculty is transacted at these meetings, and attendance is expected except for emergencies or unusual prior commitments. In general School of Education classes are not to be scheduled during the time reserved for faculty meetings.

A.2. Faculty Salaries

Faculty members are employed under either an academic year (9 months) or calendar year (12 months) contract; in both cases, the salary is paid in 12 monthly installments on the last day of the month.

There is no specified, published University salary scale. Each starting salary is a matter of individual negotiation involving the faculty member and the Dean, based on the current salary range per rank in the School, national salary levels for the field and rank involved, and funds available in the University budget.

Salary increases may be made subject to the provision of funds by the General Assembly and the Board of Governors. The usual procedure is for the Dean to receive notice of the amount available for salary increases in the School, and after examining faculty annual reports and with consultation with the Senior Associate Dean to make recommendations concerning allocation of the salary increases to individual faculty members. As with promotion in rank, salary increases are based on faculty performance in teaching, research, and professional activities, and University service. Salary increase recommendations are subject to review and approval by the Provost. Salary increases usually become effective on July 1.

Information on average salaries in the School, at UNC-CH, or at other comparable institutions is available from the Dean upon request.

A.3. Summer Assignments

Faculty members on academic year appointment may teach in the Summer School. The maximum teaching assignment is seven credit hours or two courses total for both summer terms. Faculty members may teach each summer term. Compensation has customarily been at a rate determined by the Summer School Director. Assignment is based upon such factors as the scope of the departmental summer course offerings, size of budget allocated to the department by the Summer School administration for faculty salaries, and

potential enrollment in courses to be offered. A written contract stipulating the course(s) to be taught and the rate of compensation is binding upon the faculty member and the Summer School. Faculty members on academic year appointments may accept summer employment outside the University without restriction.

A.4. External Professional Activities for Pay

A “Notice of Intent” is required of all faculty members to engage in any external consultation for pay if the activity is to occur during the academic or annual contract period of the faculty member, and if the faculty member is on contract for services during the summer session.

A.4.a. Consultation

Faculty members are free to perform outside duties for compensation during the period of University employment, provided that the duties (1) do not interfere with or create a conflict of interest with the individual’s University responsibilities (2) are done with the knowledge of the Dean, and (3) do not involve the inappropriate use of the University’s name or resources. Faculty or other professional staff who wish to engage in external professional activity for pay must complete the “Notice of Intent to Engage in External Activity for Pay” and submit it to the Dean at least 10 calendar days before the proposed activity begins. Prior approval from the Dean is required before faculty members can engage in consultation activity. Copies of this form are available in the Dean’s Office.

A.4.b. Dual Employment

If the proposed activity is to be performed for another public institution or state agency within North Carolina, state policies must be observed governing dual employment and compensation, unless an exception is granted by the Chancellor. Any faculty member who is considering consulting for a state agency should discuss the proposed activity with his/her Program Area Coordinator and the Dean before agreeing to accept the assignment, to determine the applicability of dual employment.

A.5. Academic Leaves

Description:

Untenured Faculty: Untenured faculty receive a one-semester junior faculty development assignment no earlier than the year following the first full year of service. The assignment must be taken before the initiation of a recommendation concerning tenure. “Initiation” is defined as the date on which the unit head informs the next level of authority as to the nature of the recommendation concerning tenure. With the approval of the dean under certain conditions junior faculty may in addition apply for Kenan, Pogue, or other competitive leaves.

Tenured Faculty: A tenured faculty member who has been in the School of Education for at least five years and has not had such an assignment for the past five years is eligible to apply for a one-semester research and study leave under certain conditions. If a faculty member has been appointed to a junior faculty development assignment as described above, he or she will not be eligible to apply for the research and study assignment outlined herein until he or she has completed five additional years of service following the end of the semester in which the

faculty member was appointed to a junior faculty development assignment. The faculty member may apply for Kenan, Pogue, or other competitive leaves.

For a faculty member whose initial appointment confers tenure, such a faculty member shall be eligible to apply no earlier than his or her second year at the institution for a research and study assignment to be taken in the third year. For a faculty whose initial appointment did not confer tenure, and who was not appointed to a junior faculty development assignment, and who has tenure, such a faculty member shall be eligible to apply no earlier than his or her second year at the institution for research and study assignment to be taken no earlier than the third year. If a faculty member has been appointed to a junior faculty development assignment, he or she will not be eligible to apply for the research and study assignments outlined here until he or she has completed five additional years of service following the end of the service period in which the faculty member was appointed to the junior faculty development assignment. The faculty member may apply for Kenan, Pogue, or other competitive leaves.

Review Process: An SOE faculty will be convened to review applications and make recommendations to the Dean. Please note that the greatest number of leaves that may be awarded for the academic year is set by University policy, and may not exceed one-seventh of the number of tenure-track faculty holding primary appointments in the unit as of July 1st in the year of application, plus or minus one slot. The Executive Vice Chancellor and Provost determine the precise number of assignments in consultation with the Dean. There may be years when the SOE cannot accommodate the full number of possible awards due to budget constraints.

Priorities and Criteria for Awards: The following criteria, set by the University, will be used:

- needs and resources of the department, especially continuity of graduate and undergraduate programs;
- untenured faculty will receive the highest priority;
- teaching;
- time since last leave;
- seniority;
- quality of the project to be undertaken and faculty member's ability to carry it out;
- timeliness of the project, apropos the faculty member's career;
- performance as a faculty member (scholarship/creative activity, teaching and service) since last leave;
- evidence of attempts for funding; and
- University service.

According to University policy, the Dean will consider, all other things being equal, requests for leaves in the following order of priority:

- leaves **without pay** subsidized by an outside source (e.g., NIH, Spencer, Office of Education);
- leaves **without pay** subsidized by another institution in order to have the faculty member teach at/for that

institution;

- leaves **with pay** from a non-state University source (e.g., Kenan or Pogue);
- leaves **with partial pay** subsidized by an outside source (i.e., in which the University makes up the difference between the outside support and the faculty member's current salary; and
- leaves **with pay** (i.e., off-campus assignments and reduced loads).

No faculty member may have more than two consecutive years of leave from the University for any reason, no matter what the source. A semester's leave supported in whole or in part from University sources (state or non-state) will not normally be granted more often than every eighth semester. Administrative stipends are removed when a faculty member goes on any type of leave.

Faculty Member Obligations: Any faculty member who receives a research and study assignment is obligated to return to the University and complete at least one full year of service. Upon completion of either a leave or an assignment, the faculty member must file a report on the work done with the dean within three months following the completion of the leave.

Application:

Untenured faculty: Applications for leave during 2008-2009 academic year from untenured faculty should include designation of the semester for the leave; a one-paragraph description of goals for the leave; a statement of support from the primary Program Coordinator, indicating details about how the applicant's courses will be covered; and Area Chair signature of approval. The Area Chair may wish to make a statement for the submission as well.

Tenured faculty: Applications for leave during the 2008-2009 academic year from tenured faculty should included:

- *Description* of the research or development project and the reasons that time released from teaching and administrative responsibility is essential to complete the project. The description must be at least one page and not more than two pages.
- *Statement from Program Coordinator.* The statement should include details about how the applicant's courses, service, and if applicable, administrative responsibilities will be covered.
- *Recommendation from Area Chair.*

A.5.b. University Competitive Research Leaves

A faculty member intending to apply for a Kenan or Pogue-funded leave should first consult his/her program coordinator and then present an application in writing to the Dean, including a detailed description of the work to be undertaken and a copy of his/her curriculum vitae. If the leave is approved, the Dean will add a supporting statement and forward the application to the Provost prior to the deadline set each fall by announcement. The Chancellor will consult the Advisory Committee on Awards.

Faculty members are also encouraged to seek non-University funds for support of proposed leaves.

A.6. Grants and Contracts

The University requires that certain procedures be followed by faculty to expedite applications for external support for training, research, and service activities. The procedures are detailed in the Office for Research Services' Application Information Sheet, available from the University Administrative Manager. Compliance with these procedures is required for all new grants and contracts and for renewal, continuation, or revision of all existing grants and contracts. Failure to comply with these requirements will result in a request by the Dean to the agency to withdraw the application or proposal from consideration.

The Office of the President of the UNC System requires that an Internal Processing Form be completed prior to the submission of any contract, grant, or other cooperative agreement. This form must accompany a completed application or proposal as it is reviewed.

In addition to University procedures, the School of Education has established procedures for facilitating the approval of grant and contract applications.

- (1) A Notice of Intent to Submit a Contract or Grant must be submitted to the Dean at least 30 days prior to the submission of any application to a public or private agency. This notice must include any commitment of faculty time, personnel, funds, space, or equipment.
- (2) Any contract or grant proposal must be approved by the Dean or the Dean's designee. The Dean requires at least 48 hours to read and approve a request. The School of Education has an internal processing sheet that addresses any commitment of faculty time, personnel, funds, space, or equipment.
- (3) Overhead for grants is to be at the level of 24%, unless a limit on overhead is specified by the funding agency.
- (4) Faculty buyout for teaching will be at the level of 25% of the faculty member's base salary per course, up to a maximum of two courses.

B. Resources and Support Services

Faculty must adhere to the Personal Use Policy of the University for use of University resources.

B.1. Technology

All faculty members are provided with a computer that is linked to the Internet and access to a printer. Technological assistance is provided in Peabody Hall by a Computer Systems Administrator and Computer Support Technician.

B.2. Email

All faculty members are provided with free UNC email accounts. Most School of Education memos and announcements are made to faculty solely through the medium of email and each faculty member is responsible for monitoring email in a timely manner.

B.3. The Curriculum Materials Center

The Curriculum Materials Center collects and houses: (a) curriculum materials for use by School of Education students with children, birth through grade 12; (b) professional development resources specifically for Education students and faculty which are not duplicated elsewhere on campus; and (c) reserves readings for School of Education courses. The professional staff of the CMC is available to assist faculty and students in finding resources not housed in the CMC. The CMC Policy Manual is on reserve in the Center.

B.4. Computer Labs in Peabody Hall

Two computer labs are available in Peabody Hall for the use of faculty and students. The Frances and William Smallwood Technology Lab (011 Peabody) has 19 Macintosh workstations. The Smallwood Lab is open primarily for student access approximately 60 hours per week. The lab may be reserved for School of Education classes or related activities (e.g., teacher training workshops) by contacting the Education Technology Services main desk at 962-3791.

The Mercer Reynolds Family Technology Lab (02 Peabody) currently features twelve (12) Dell desktop PCs running Windows 95. The lab may also be reserved for technology-intensive, hands-on classes and special workshops requiring the use of multiple workstations.

B.5. State Cars

The School of Education leases state cars that faculty members may use for professional travel. Cars are made available on a “first-come-first-served” basis. Priority is given when the travel is for the purpose of supervision of student teachers. Arrangements to use the state cars should be made through the Dean’s Office.

B.6. Parking Permits

A limited number of permits are allocated to the School of Education each year by the University Transportation and Parking Office for various parking lots. There is a permit fee, which varies depending upon the lot assigned. Each year faculty and staff request their preference for parking lot assignments. To the extent possible, requests are matched to the spaces allocated to the School. If there are more requests than spaces available, seniority in University service is used to determine assignments. (No distinctions are made for faculty rank or staff positions.) The Dean may recommend exceptions to this priority system.

B.7. Travel

B.7.a. Authorization

When a faculty member is traveling out-of-state for University business purposes, a Travel Authorization form must be filed in the Dean’s Office in advance of the trip, even if no state funds are being requested. This requirement is for the faculty member’s protection, so that the trip will be on record as an official business trip. Then, if an accident should occur, there would be no doubt regarding such matters as the applicability of state insurance coverage.

If a faculty member travels to perform external consultation for pay, a Travel Authorization is not required. The University insurance policy does not cover individuals for the purpose of external consultation for pay.

B.7.b. Travel Funds

Any faculty in the School may apply for travel funds, and faculty members are encouraged to attend at least one professional meeting each year. Travel expenses which may be covered include round trip travel between Chapel Hill and the meeting site, specified subsistence expenses, and the actual cost of registration fees. Maximum levels are set by the University and periodically revised for mileage, subsistence, and registration fees.

Within ten days after completion of a trip, a completed travel expense voucher should be sent to the Business Office. Receipts are required for lodging, airplane tickets, airport parking, taxis, and registration fees. The travel expense voucher is required after the trip, even if money for the trip was obtained in advance, along with a check if the advance exceeded the actual allowable expenses. State travel regulations require a full and accurate report of all expenditures even if they exceed the authorized per diem expenses.

The following travel announcement is sent in the fall of each academic year:

Colleagues,

It is time to apply for travel funds for the 2007-2008 academic year. The guidelines for applying appear below. If you wish to be considered for funding, you will need to submit **four (4) hard copies of all of the requested information to (Name) in (room) Peabody by 5:00 pm, Monday, October 1**. If the Travel Committee does not have all of the required information when it meets, it will not be able to consider your request. (Dollar amount) in travel funds is available for this academic year. All funded travel for the 2007-2008 academic year must be completed and receipts turned in to the business office of the School of Education by June 13, (year). If not, submit it for consideration next academic year.

If your travel occurs during the summer months or early fall, you will need to pay for the travel at that time and then submit your request for funds to the Travel Committee in the fall. If all or any part of your request is recommended by the Committee, you will then need to submit official receipts in order to get reimbursed.

Procedures for applying for 2007-2008 Travel Funds to the Travel Committee

The travel fund policies are based on two premises (a) travel should be consistent with the mission of the School of Education and (b) higher priority for limited funds should be given to non-tenured, tenure-track faculty as one means of supporting their efforts to obtain tenure.

ELIGIBILITY: All tenure-track faculty in the School of Education **who do not have outside funding to support the proposed travel** (and whose programs do not have monies specially designated for their travel) and **all full-time clinical faculty** i.e., those carrying regular instructional loads) **in the School of Education and do not have outside funding to support the proposed travel** are eligible. **All faculty on phased retirement** in the School of Education who do not have outside funding are also eligible to apply for travel funds.

Funds are not available for part-time clinical faculty.

FUNDING SUPPORT LEVELS: All eligible tenured faculty and all eligible clinical faculty who submit approved proposals for travel will receive an equal share of funding. All eligible non-tenured, tenure-track faculty will receive an equal share of funding, but at a level which is 50% higher than that of the tenured faculty. Faculty with joint appointments with other departments will be funded in accordance with the percentage of time of their appointment in the School of Education (e.g., 75% appointment in the School of Education = 75% of one travel fund share). You may apply for funding for travel to more than one professional meeting.

All faculty on phased retirement are entitled to apply for 50% of one travel fund share.

TRAVEL PRIORITIES: Top priority for funding is support for the presentation of research at relevant national/international and regional conferences. Second priority is given to other types of presentations at national and regional conferences in the applicant's field. Third priority is for professional development activities such as participation in relevant national and regional professional meetings.

Faculty presenting papers at state professional meetings are also eligible to apply for travel funds

Although professional development at state professional meetings and travel to secure research funding are important, applicants are encouraged to seek other sources of support (e.g., use of state cars; IRSS funds to meet with funding agencies) for these types of travel. The Travel Committee recognizes and encourages travel related to Research Triangle Schools Partnership activities within North Carolina, but assumes that funds for this type of travel will be found within the RTSP or related budgets.

PROCEDURES:

Requests for completed and/or anticipated travel for the academic year should be submitted (**four hard copies**) to **Nadya Yuskaev** (105 Peabody) by **5:00 pm, Monday, October 1** and must include all (**a-d**) of the following, or the request will not be considered:

- (a) **a statement of whether any outside funds are available to support the proposed travel;**
- (b) **a brief paragraph explaining the purpose of the travel (with respect to the travel priorities specified above)**
- (c) **the title, place, and dates of the conference/meeting**
- (d) **a detailed account (e.g. estimated airfare, travel to and from airports, registration fee, per diem, etc.) of anticipated expenses (or a copy of expenses incurred with appropriate receipts if travel has already been completed) which is consistent with University guidelines.**

The Travel Committee will evaluate each proposal in accordance with the criteria specified above and make recommendations to the Dean taking into account available funding.

B.8. Telephone Use

Personal long distance calls should be made collect, charged to a third party, or charged to the caller's credit card.

B.9. Duplicating

Copying services are available to School of Education faculty and students both within the School and at other campus locations, as described below. The following guidelines for using the copy machines and campus facilities maximize the School's available resources:

1. Faculty should use School of Education copying machines to reproduce only class syllabi and examinations. Faculty are strongly encouraged to use Blackboard attachments or commercially produced course packs for all other class handouts.
2. Faculty should limit the copying of research papers to two copies, plus the required copies for review by journals or publishers.
3. Faculty should not use the School's machines to reproduce material such as drafts of textbook chapters, handouts for paid consulting, or other documents from which they expect to make a profit.
4. Faculty, staff and students, including graduate assistants, and teaching assistants, should not use the School's copying machines to reproduce personal material, term papers, or dissertations.

B.10. Mail

Postage for mailing research materials should come from faculty research grants whenever possible. Faculty are strongly discouraged from using Federal Express or Priority Mail to send documents. Fax or email attachments should be used instead.

B.11. Keys and Building Security

Keys are distributed to faculty members, staff, and students following the guidelines below:

- Only faculty members and certain designated staff employees are assigned building keys.
- Graduate students who have an assigned workspace in Peabody can receive an office key, but only if their supervisor makes a request in writing to the Dean.
- Graduate students are required to turn their keys in at the end of spring semester. Those who remain in the workspace the following year are still required to renew their key assignment.

B.12. Space Assignment and Use

The principal location of the School of Education is Peabody Hall. This facility provides office, classroom and support service space for the School.

All office assignments are made by the Dean upon recommendations from program coordinators, the Senior Associate Dean, and the University Administrative Manager.

Assignments may be made at any time but not without prior consultation with program coordinators and faculty or staff to be affected at least 30 days prior to the change of space.

A limited amount of office space for grant research and program assistants and for storage is available in Peabody Hall. This space is allocated by the Dean, in consultation with the Senior Associate Dean and the University Administrative Manager. Allocations are reviewed annually.