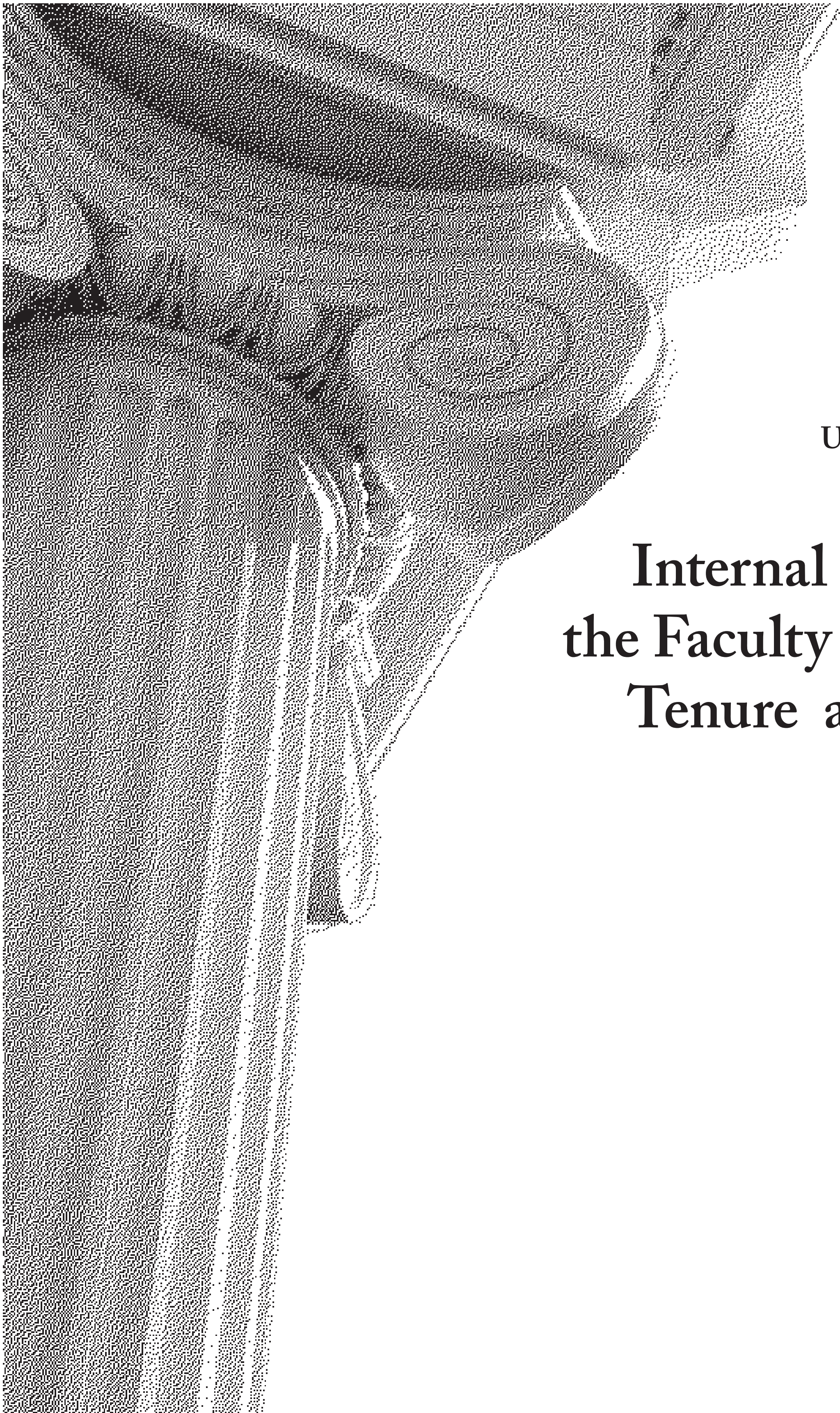

School of Government
University of North Carolina
at Chapel Hill

Internal Guidelines for the Faculty Appointment, Tenure and Promotion Process

October, 2007

UNC
SCHOOL OF GOVERNMENT

INTERNAL GUIDELINES FOR THE FACULTY APPOINTMENT, TENURE AND PROMOTION PROCESS

SCHOOL OF GOVERNMENT
THE UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL

OCTOBER, 2007

Section 1   Advisory Committee Guidelines

These guidelines apply to the reappointment of assistant professors and lecturers, the promotion of assistant professors to associate professor with tenure, and the reappointment with tenure of probationary term associate professors. The same process also applies to promotions to full professor and senior lecturer, except the review is conducted by an *ad hoc* committee appointed by the Dean rather than an existing advisory committee.

Faculty Advisory Committees. As stated in the School's APT policy, faculty advisory committees offer guidance on overall professional development and are a resource for new faculty members as they plan their work and develop their fields of expertise. A recommendation from the advisory committee is also the first step in the reappointment, promotion, and tenure process. One member of each committee serves as a teaching mentor, with responsibilities as outlined by the School's teaching committee. The Associate Dean for Programs will appoint the committee members and, when appropriate, meet with the committee before a new colleague arrives for work.

Committee Meetings. The chair of each advisory committee will convene at least two regular meetings per year, beginning within two weeks after a new faculty member arrives. The chair is responsible for calling and scheduling all meetings. In its first meeting the committee should make clear that the new faculty member is encouraged to consult with them any time he or she has a question about work, procedures, or anything else involving the School. It is not necessary to wait for a meeting. The committee chair or a new faculty member may call a meeting at any other time as needed. Committee members other than the chair may also request that the chair call a meeting. These guidelines are not intended to discourage committees from meeting more regularly than twice per year.

Written Summaries. The committee chair will prepare a written summary of each meeting. It should include a short assessment of a person's work in each of the following areas: (1) teaching (which could be written by a person's teaching mentor); (2) advising; (3) research and publication; (4) administrative responsibilities and other School service; (5) other important activities (special University or professional service, for example); and (6) overall summary. Committee reports should document completion of teaching observations and other teaching development activities called for in the guidelines for teaching mentors. A draft copy of the summary should be circulated to the other committee members and to the faculty member for approval. A final copy should be given to each of them, and to the Associate Dean for Programs (email of an electronic copy is preferred), who will circulate it to the Dean and the Senior Associate Dean.

Preparing for Reappointment and Tenure. Committee chairs are responsible for scheduling meetings in advance of deadlines for submitting reports and paperwork for reappointment and tenure. The Director of Human Resources maintains a central database of these dates. She will be responsible for providing the appropriate schedules to the committee chairs and will provide support for preparing the forms and dossiers that are required by the University. The promotion schedule is also available on the School's internal informational webpage. Section 2 of these guidelines provides additional information about the timeline for preparing material for review. Information and standards for reviewing faculty members are detailed in Section 7 of the School's APT policy.

Obtaining Outside Letters in Support of Promotion. The process of identifying possible outside reviewers must begin well before letters are due. Faculty members who are subject to review should begin to identify potential reviewers early in their career here; often, the faculty member will be in the best position to identify experts who can evaluate his or her work. The faculty member should consult with the advisory committee, other colleagues, and professionals with whom they work to identify respected professionals and academics who can provide an objective evaluation of the faculty member's work – especially their published work. Committee chairs are responsible for personally contacting outside reviewers about a possible review, including academics and professionals or clients, to make sure they understand the context of the request and the focus of the evaluation we're requesting. The Associate Dean for Programs and the Senior Associate Dean are available to help with these reviewer contacts.

Letters are prepared by the School's Director of Human Resources using standard forms, and are sent out over the Dean's signature. Once received, letters are filed and maintained by the Director of Human Resources. The chair of the advisory committee is responsible for providing to the Director of Human Resources a list of outside reviewers with contact information so that she can prepare the letters. This list should be finalized no later than the meeting at which the advisory committee begins its review of the faculty member's materials (the first date listed on the promotion schedule spreadsheet, which is available on the School's employee intranet site). The chair must list which of the proposed outside reviewers were suggested by the faculty member and which were suggested by the chair or the School administration. Although we typically use a collaborative process to select outside reviewers, University procedures require us to identify them this way.

Summary of Major Faculty Advisory Committee Chair Responsibilities.

1. Call meetings of the committee; at least two per year.
2. Prepare, circulate, finalize and submit committee reports for each meeting.
3. Prompt faculty member to begin thinking about outside reviewers no less than six months before initial review of materials by the committee and consult with faculty member on possible choices. Contact potential reviewers to determine willingness and suitability
4. Call meeting for initial review for reappointment, promotion, or tenure decision no later than the date listed on the School's schedule.
5. No later than the date listed on the School's schedule, submit a list of outside reviewers to the Director of Human Resources (designating each as either faculty or committee suggestion), along with a list of faculty publications to be sent to outside reviewers.

6. Contact outside reviewers immediately after letters are sent to explain our mission and the context and parameters of the outside review we're asking for, and answer any questions reviewers may have about the process.
7. Prepare, circulate, finalize, the recommendation and report on behalf of the committee, and submit it no later than the date listed on the School's schedule.

Process for Promotion to Full Professor or Senior Lecturer. Advisory committees cease to function after a positive tenure decision. Faculty members are encouraged to consult former advisory committee members for guidance as needed, and to discuss possibilities for outside reviewers in advance of the deadline for requesting letters in support of promotion to full professor. For promotion to full professor or senior lecturer, the original committee is reconvened, if possible, or new members are added, for development and review of the promotion package. Responsibility for calling meetings, identifying and making individual contact with outside reviewers, and preparing the committee's report is the same as for tenure. The committee makes a recommendation to the dean regarding the faculty member's suitability for promotion to full professor or senior lecturer.

Section 2 Timelines for Review Process.

Timelines for promotion are set for each individual faculty member to comply with the UNC Chapel Hill Trustee Policies and Regulations Governing Academic Tenure, which are available on line at: http://www.unc.edu/campus/policies/tenure.html.

The Trustee Policies generally require that decisions about reappointment and promotion be made "no less than 12 months before the end" of a term of employment. Consequently, timelines work back from this deadline. The specific term of employment depends on the type of appointment.

Typically, an individual timeline must permit adequate time to collect reference letters when required, to create written recommendations, for discussion by the appropriate body within the School's faculty, to gather materials for submission to the university process beyond the School, and for a candidate to be considered by the appropriate university bodies. The School's Director of Human Resources maintains a schedule showing individual timelines for review for reappointment or promotion. The document is called "Faculty Promotion and Reappointment Schedule" and it is available on the School's intranet. The following information supplements the Faculty Promotion and Reappointment Schedule with details about activities that should be undertaken at each stage listed on that schedule.

Six Months Before Committee Begins Review
Faculty member beings work on review materials.
Faculty member should:

1. Begin developing a list of suitable outside reviewers and discuss them with the committee chair;
2. Begin to prepare material to submit for initial committee review;
    - Compile teaching evaluations (see Section 3, Documentation Requirements for Faculty Reappointment, Tenure, and Promotion and Guidelines for Preparing Materials)
    - Draft teaching and research statements (see Section 6, Elements of a Teaching Statement and Teaching Portfolio, and Section 7 Elements of a Research Statement)
    - Update CV in proper order and format (see Section 3, Documentation Requirements for Faculty Reappointment, Tenure and Promotion, and Guidelines for Preparing Materials)
    - Prepare teaching portfolio (see Section 6, Elements of a Teaching Statement and Teaching Portfolio)
    - Assemble publications for committee review
    - Arrange for peer review of teaching (see Section 5, Teaching Evaluation)

Committee Begins Review
Committee should:

1. Review preliminary draft of CV and assess whether faculty member is on track for scheduled final review deadline;
2. Review and discuss list of outside reviewers.

No Later Than One Week After Initial Committee Review
List of names for outside reviewers due in HR
Committee chair should:

1. Forward 6 names for outside review to Director of Human Resources with top four choices noted. Typically, four letters are requested and two are in reserve in case of insufficient response or failure to respond.
2. Forward to Director of Human Resources a list of publications to be sent to outside reviewers.

Reviews are due four weeks before the committee report is due so that chairs will have time to review them and incorporate pertinent information into the report. The Director of Human Resources will provide copies of outside review letters to committee chair.

Four Months After Initial Committee Review
Finalized packet of materials to chair
Faculty member should:

1. Provide the committee chair with the finalized CV in proper form, peer observations of teaching, teaching evaluations, teaching statement and portfolio, and research statement. The Director of Human Resources is available to review CV's in advance of this deadline to assure proper format.
2. Provide a copy of the CV to the Director of Human Resources so publications can be displayed in the library.

No Later Than the Due Date for the Committee Report as Shown on the School's Schedule
Committee report due
Committee chair should:

1. Draft, circulate *to committee members only*, finalize and submit committee recommendation and report. The faculty member is entitled to see the report after it is reviewed by the Dean and prior to the faculty meeting at which the recommendation is made.
2. Forward to the Director of Human Resources the finalized CV in proper form, peer observations of teaching, teaching evaluations, teaching statement and portfolio, and research statement.

Section 3 Documentation Requirements for Faculty Reappointment, Tenure and Promotion, and Guidelines for Preparing Materials

The Associate Dean for Programs and the Director of Human Resources can provide assistance in preparation of materials for promotion and tenure. *Faculty members should start the process of preparing materials at least six months before the scheduled date for the internal committee to begin its review.* (See Section 2, Timelines for Review Process.) Examples of School faculty CV's, teaching portfolios, and teaching and research statements are available from the Director of Human Resources.

The University provides guidance for faculty members and departmental staff for preparing packages for promotion and tenure at the following website: http://hr.unc.edu/EPA/faculty/appt-proc-guide/tenure-tt/dossier#sub1. The School's Director of Human Resources provides individual timelines and a list of required documentation to each faculty member at the beginning of the reappointment, tenure, or promotion process.

Preparing the CV

Guidelines for Curriculum Vitae (CV) presentation are set forth below. These reflect University guidelines as well as approaches the School recommends for documenting the information necessary to address the standards set out in the School's APT policy.

The following is the preferred order for presentation of the CV. In every subheading, list items in *reverse chronological order* with most recent items first. Please date the CV so reviewers will know that they have the most recent version, number pages, and include dates of teaching, advising, and consulting activities.

Personal
Education (institution and location, degree, date conferred, degree major)
Professional Experience (with dates)
Honors (with dates)
Fields of work at the School of Government
Bibliography -- for co-authored publications, show author order and indicate percentage of faculty member contribution.

- Books and Chapters, including pages
- Refereed papers/articles, including pages
- Refereed unpublished oral presentations and/or abstracts
- Other unrefereed works, including book reviews, dissertations, monographs. School of Government Bulletins are usually listed as monographs. This category would also include substantial written work for reports or websites, and book reviews.

Teaching record (with dates) -- School faculty typically have a longer list of teaching activities than do faculty in other units. Teaching activities are sometimes consolidated by 1) listing annual courses once, followed by the years they were taught, and 2) listing typical courses by particular clients groups for whom they are taught, or by particular topics. School faculty also list regular course planning and development activities for particular client groups, as well as computer-based teaching material they have developed.

Advising/Consulting Activities (with dates) -- Faculty members sometimes summarize in a single sentence or short paragraph the volume and types of daily telephone and email inquiries they receive. Other major consulting projects are separately listed and typically include projects that extended beyond a single meeting or conversation, and involved more effort than a typical telephone or email inquiry. This category could also include activities such as maintaining, moderating, and regularly responding to listservs, and creating websites, but substantial written work posted to websites should be listed under "Bibliography – other unrefereed works."

Grants (source, amount, type of grant, role on project, starting and ending dates)

Professional Service (with dates)—See Section 6 of the School's APT policy for examples of activities considered service to the School, University, and profession.

- To discipline (Some faculty members list pre-publication review of manuscripts for outside journals or other peer reviewed publications here.)
- Within UNC-Chapel Hill
  - Service to the School (Some faculty members list pre-publication review of School manuscripts here.)
  - Service to the University

Research statement -- See Section 7, Elements of a Research Statement

Teaching statement -- See Section 6, Elements of a Teaching Statement and Teaching Portfolio

From the University Guidelines: Focus and brevity are appreciated in both the research and teaching statements; these should generally not exceed five pages. Both should include a short statement of future plans. Important Note: CVs should not include age, date of birth, marital status, or social security number (SSN). These items are not relevant and should always be omitted from the CV.

Teaching Evaluations

Program managers have been directed to provide copies of all School teaching evaluations to the Director of Human Resources, and the human resources staff will compile these. Faculty members are responsible for providing to human resources all teaching evaluations from non-School courses. These should be provided at least one month before the materials are due to the faculty advisory committee for review in order to provide sufficient time for compiling.

Peer observation of teaching (see Section 5, Teaching Evaluation) should be submitted to the advisory committee for review, and should be included with the committee's report to the Dean.

Section 4. Guidance on Writing for School of Government Faculty Members

School of Government tenure-track faculty members have appointments that require research and writing, teaching, and advising, as is typical for academic appointments throughout the University. The School's Appointment, Promotion, and Tenure policy outlines in clear terms the ways in which expectations for School faculty members are directly related to our mission of service to the state. Our unique mission has a direct impact on how faculty members spend their time, and on the nature of their research and writing. Specifically, the demands of direct service in the form of telephone, email, and in-service consultation, as well short-course teaching, are significant and year-round. Faculty members may not have significant blocks of time available for intensive research or writing projects. Writing projects vary in length, format, and delivery, and are often time-sensitive. The School's long history of service and responsiveness has created expectations by public officials throughout the state for short-term, timely, and direct assistance. Our internal culture of responsiveness and service often makes it difficult for faculty members, especially new faculty members coming up through the tenure process, to prioritize time for writing.

The School values writing because it promotes the value of applied, engaged scholarship that is a part of the School's and the University's mission. Faculty members must make time for the research and writing that must be demonstrated for the award of tenure and promotion through the ranks. Although the public officials we hear from on a daily basis rarely ask for written material, we cannot answer their questions, develop their programs, or provide the written material they rely on unless we prioritize time for in-depth research and writing.

A major function of faculty advisory committees is to discuss with faculty members their progress in all areas of work, and to assist them in maintaining a balance that will help them meet the needs of public officials and succeed in the promotion and tenure process. Faculty members have developed various strategies for making time to do research and writing. No single model or preferred strategy is required. Faculty advisory committees can help new faculty members learn what strategies work best for them.

Examples of strategies include blocking out certain times of the day or specific days of the week for research and writing. Faculty members can manage their telephone and email traffic by using messages to indicate times when they will (or will not) be available to respond to inquiries. The demands of particular client groups vary, and this affects the flexibility faculty members have in making these kinds of arrangements. This flexibility is also affected by the extent to which there is overlap with other faculty members, and by whether outside resources are available to respond to client inquiries. While our clients value prompt responses to telephone and email inquiries, blocking out days or weeks for writing, like blocking out time for teaching, is an appropriate reason for a delay in responding. There is no precise formula for determining when the time set aside for writing is sufficient to require approval as a writing leave. The key consideration is whether the needs of clients are continuing to be met by the faculty member (or by colleagues who share the field, without a significant impact on their normal share of the work), or whether instead, the time set aside for writing requires other arrangements for meeting those needs.

At the School, a "writing leave" is a period of time during which a faculty member is doing research and writing in such a way that he or she is completely unavailable for regular advising or teaching responsibilities, and alternative arrangements (whether internal or external) are required to meet these needs. Consultation with a faculty member's advisory committee (where applicable) and approval by the Dean are required for a faculty member to take a writing leave. Approval of writing leaves will be based on several factors, (these are not necessarily in order of priority): (1) the need expressed by the faculty member and the faculty advisory committee, especially when reappointment, tenure or promotion deadlines are approaching; (2) the impact on colleagues who would be required to fill the gap (this includes consideration of available internal and external capacity); (3) the availability of grant funding for a project that requires completion of work within a specified time frame; (4) other unique opportunities to focus on a particular project requiring a dedicated effort and displacement of other obligations; and (5) other justification determined to be compelling and in the best interest of the faculty member and the School. The use of a writing leave is not viewed negatively in reappointment, promotion, or tenure decisions.

Section 5 Teaching Evaluation

Review of Teaching Materials. The review by a faculty member's advisory committee should include at least three different examples of teaching materials, each of which should be selected by the person being reviewed. The review should be conducted, if possible, by an advisory committee member knowledgeable about the subject matter covered by the materials. The faculty member and the reviewer should meet before the review takes place, to discuss the context for which the materials were prepared, what the instructor was attempting to accomplish with the materials, and how the materials relate to the teaching methods used by the instructor in the session. When the review is completed, the reviewer should prepare written comments that are shared with the faculty member.

Peer and Committee Observations of Classroom Teaching. A peer teaching evaluation is required in connection with reappointment or promotion. The faculty member should arrange for this not later than six months prior to the faculty advisory committee's initial review (see timelines in Section 2 of these guidelines). The faculty member may arrange for a peer observation by his or her teaching mentor, by a different faculty member, including another member of his or her faculty committee, or the faculty member may use a prior peer review observation, if it is sufficiently recent to be representative of the faculty member's teaching at the time of review. In any case, each member of the faculty member's advisory committee should observe the faculty member's teaching as part of the evaluation for promotion or tenure. If the faculty member's teaching involves one or more MPA courses, at least two sessions of a course should be observed.

There is no set format for peer observations, but the write-up of the observation should indicate the dates and subjects of the sessions observed. Previous examples have discussed the following types of things: command of the subject matter, clarity of teaching objectives for the session, effectiveness of the presentation and techniques used, extent of engagement with and by the audience, responsiveness to questions, time management, and appropriateness of the amount of material covered. Written peer observations of teaching must be submitted to the committee for review and forwarded to the Dean with the committee's final report.

<u>Section 6</u> **<u>Elements of a Teaching Statement and Teaching Portfolio</u>**

Faculty members submitting documents for reappointment, promotion, or tenure must prepare a *reflective teaching statement*. That statement should be no longer than three pages.

While the reflective teaching statement is one of the documents that must be submitted as part of the promotion documents (see Section 3, Documentation Requirements for Faculty Reappointment, Tenure, and Promotion), a candidate should also include the statement in his or her teaching portfolio. The teaching portfolio is considered within the School only—it does not go up for review to other parts of the university. The advisory committee and reviewing faculty within the School examine the candidate's teaching portfolio as a part of their evaluation of the candidate's teaching (see discussion of "Teaching" at p. 15 - 16 of the School's APT Policy).

The reflective teaching statement is an essential element of a teaching portfolio. The statement helps inform readers about your philosophy of teaching and learning, as well as how you implement that philosophy. It is also an avenue for you to assess your strengths and improvements as a teacher.

The following kinds of issues may be addressed in a reflective statement.

(1) Why do you like teaching?

(2) What kinds of teaching do you do? (e.g. MPA classroom teaching, continuing education, mentoring, advising, etc.).

(3) How has your teaching changed over time?

(4) How do you think students best learn the subjects you teach?

(5) How do you motivate students to learn?

(6) What are barriers to student learning that you encounter, and how do you try to overcome them?

(7) In what ways do you hope students are "different" after you've taught them?

(8) What are the most important student learning outcomes from your teaching?

(9) What are examples of your most successful teaching? Why do you consider them successful?

(10) What innovations have you tried in your teaching and what were the results?

Faculty creating reflective teaching statements should review the statements on file with the Director of Human Resources as part of the collection of teaching portfolios created by faculty for the promotion process in the past. Colleagues are also willing to share copies of their statements and provide advice. A campus resource about teaching is the Center for Teaching and Learning (http://ctl.unc.edu/). Ed Neal, of the Center's staff, has advised School faculty over the years about teaching. The list of questions above is based on a document prepared by Neal.

The *teaching portfolio* represents an opportunity for the candidate to showcase his or her teaching talents for fellow School faculty. The materials listed below are typically included in a teaching portfolio. The School's Director of Human Resources has a collection of teaching portfolios created by faculty for the promotion process in the past.

--a copy of the curriculum vitae the candidate will submit as part of their promotion package

--the candidate's reflective teaching statement

--sample written materials/class handouts used in teaching

--sample overheads/PowerPoint presentations used in teaching

--sample discussion questions used in teaching or prepared for group discussions

--student course evaluations

--external reviews and/or letters you may have received regarding teaching or other aspects of your work (these are **not** the outside evaluation letters required by Section 7 of the School's APT policy; these may be reviews or comments you received about teaching or other services)

--syllabi for MPA courses, if applicable

--sample exams for MPA courses, if applicable

--any other material the candidate feels will help with the evaluation of their teaching.

Section 7 Elements of a Research Statement

Faculty members submitting documents for reappointment, promotion, or tenure must prepare a *research statement* for the university review process. That statement should be a 2-3 page document that accomplishes these five goals.

(1) Describes how your research and publishing serves the School's mission of improving the lives of North Carolinians by engaging in practical scholarship that helps public officials understand and improve state and local government. The statement should stress the School's focus on practical research and public service and discuss how research is both reactive and proactive.

(2) Describes the research and publishing you've done in terms of (a) the disciplines and topics you have covered, (b) who it serves, and (c) the formats in which your work has appeared. Discuss why research was undertaken when appropriate (for example, appearance of a common problem within a client group might lead to a particular publication). You should mention any and all forms of publishing, including formats like electronic presentation, bench books, manuals, reports of committees or commissions, substantial revisions to General Statutes, local ordinances or policies, and other similar kinds of writing. You should mention notable things about your publications—for example, special innovations in the presentation of information, original research and creative approaches, exceptional praise from clients or reviewers, awards, or appearance in leading journals.

(3) Specifically discusses linkages among teaching, advising, and research and publishing you have done.

(4) Describes future directions in which you expect your research and writing to continue or expand.

(5) If you work in fields such as public administration, finance, or management—and if you teach two courses in the MPA Program—you should also discuss how your work contributes to your scholarly field beyond the central mission of serving North Carolina's local and state government.