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Revisions May 10, 2013 per advice of UNC Legal Counsel

School of Education

University of North Carolina-Chapel Hill

**Policy Manual for Faculty
Appointments, Promotions, and Tenure**

**Approved by School of Education Faculty
March 28, 2012
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Policy Manual for Faculty Appointments, Promotion, and Tenure

Introduction

This Policy Manual contains the School of Education policies and procedures on appointment, reappointment, promotion, and tenure. Its purpose is to provide clear and detailed guidance to both tenure track and fixed-term faculty regarding expectations for appointment and advancement within the School of Education. As such, it will guide evaluation decisions and can facilitate career planning by faculty. Recommendations made by the Dean and faculty based on these policies and procedures are subject to review at higher levels within the University. The 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. When University policies are provided in this Manual, they are presented in italics. The University policies are specified in the following documents:

- (1) *The Code of the Board of Governors of The University of North Carolina* (www.unc.edu/facoun).
- (2) *Trustee Policies and Regulations Governing Academic Tenure in The University of North Carolina at Chapel Hill* (www.unc.edu/facoun).
- (3) *The Faculty Code of University Government* (<http://facoun.unc.edu/wp-content/uploads/2010/07/FacultyCode2011Edition1.pdf>).
- (4) *The Equal Employment Opportunity Plan and Report of The University of North Carolina at Chapel Hill*. (www.unc.edu/depts/eoada/).

Trustee Policies and Regulations Governing Academic Tenure in the University of North Carolina at Chapel Hill contains the following regarding academic tenure:

Academic tenure refers to the conditions and guarantees that apply to a faculty member's employment. More specifically, it refers to the protection of a faculty member against involuntary suspension, demotion, discharge, or termination from employment by the University except upon specified grounds and in accordance with specified procedures. Those grounds and procedures are exclusively as provided in Section 3 (suspension, demotion, and discharge) and Section 6 (termination for financial exigency or elimination or major curtailment of a program) hereof.

The purposes intended to be served by according the protections of academic tenure to faculty members are to secure their freedom and to aid this University in attracting and retaining faculty members of the high quality it seeks. While academic tenure may be withheld on any grounds other than those specifically stated to be impermissible under

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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.

<http://www.unc.edu/campus/policies/UNC-Chapel%20Hill%20Tenure%20Policies%20and%20Procedures.pdf>

The Report of the UNC Task Force on Future Promotion and Tenure Policies and Practices (10/5/09) provides the following description of tenure:

The conferral of tenure at the University of North Carolina carries significant privileges as well as responsibilities on the part of both the university and the faculty member. For the faculty member, tenure grants the right to engage in free inquiry in both teaching and research without fear of reprisal. Tenure also provides job security. Tenured faculty provide the university a vigorous exchange of ideas in both scholarship and the class, and a stable, high quality professional staff loyal to the institution.

The UNC Task Force Report also included five recommendations related to tenure and promotion policies and practices that all units on campus are to address. This 2012 School of Education Policy Manual addresses these five recommendations:

- 1. Faculty engagement with the public outside the traditional scholarly community should be valued and evaluated during the tenure and promotion process. Faculty engagement refers to scholarly, creative or pedagogical activities for the public good, directed towards persons and groups outside UNC-CH.*
- 2. New forms of scholarly work and communication made possible primarily by digital technology should be included in evaluations of scholarship.*
- 3. Work across disciplinary lines should be supported. Expectations of all involved parties should be articulated at the outset, and referred to as tenure and promotion decisions are made.*
- 4. The expectations and procedures of the tenure and promotion process should be as clear as possible, and tenure and promotion policies and procedures reviewed and revised at the unit level now and in the future whenever the unit is externally reviewed (at least every 10 years).*
- 5. Mentoring of faculty should be seen as an important responsibility of chairs and senior faculty.*

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Part II

Tenure Track Positions

Appointment, Promotion and Tenure

General

Tenure-track faculty members are essential to the overall mission of the School of Education, including teaching, research/scholarship, and service. Tenure-track faculty may hold joint appointments with other schools or departments, or they may be appointed to fixed-term appointments in other schools, departments, centers, or institutes.

Recruitment and Selection: 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, sexual orientation or veteran statuses. The final selection decision will be made from among the most qualified applicants.

Decisions: Decisions on faculty appointments 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.

Appointment to Tenure Track Faculty Positions

Instructor. This position is a tenure-track position used for an initial appointment where the individual meets the standards for the position of assistant professor, with the exception of the completion of the doctoral dissertation. It is expected that the person will fulfill all qualifications for the doctorate during the first year with the School of Education, and at such time the individual may be promoted under the specific provisions as stated under University Trustee Policies and Regulations and by School standards. However, this promotion is not guaranteed per Section 2.b.4 of the University Trustee Policies and Regulations.

Assistant Professor. This position is a tenure-track position with an initial probationary term of four years and the possibility of reappointment for three more years. Persons appointed to this position should have demonstrated potential to contribute through teaching, research and service as evidenced by completion of a dissertation, publications, establishment of a research focus, and prior teaching experience or evidence of teaching potential; the candidate should show promise of progression in rank.

Associate Professor. A promotion to the rank of associate professor confers permanent tenure from the effective date of the promotion. An initial appointment as an associate professor is ordinarily for a probationary term of five years. Persons appointed to this position with probationary status typically should have met the School's standards of teaching, research, and

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service at another college or University. Reappointment to the rank of associate professor carries with it the award of tenure from the effective date of reappointment. Appointment to the position of associate professor with permanent tenure is unusual and should be made only in extraordinary situations (Memorandum, 10.26.2010 Office of the Provost)

Professor. 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. Persons appointed or promoted to this position should have documented evidence of a substantial level of attainment in teaching, research, and service as evidenced by a sustained publication record of sufficient quality and quantity, national recognition for their work, and indications of effective teaching and service.

Joint Appointments

A joint appointment refers to a person holding faculty rank in the School of Education and at least one other academic unit on the UNC-CH campus. A person may hold a tenure track appointment in the School of Education and a fixed-term appointment in another academic unit; a fixed-term appointment in the School of Education and a tenure track appointment in another academic unit; fixed-term appointments in both units; or a joint tenure track appointment in the School of Education and another academic unit.

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 rank in the other department. Actions 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.

Standards and Criteria

Tenure is not earned, rather it is bestowed by the University following an assessment of institutional needs and resources and demonstrated professional performance, evidence of service to the academic community, commitment to the welfare of the University, and potential for future contribution.

Before being granted tenure, all faculty members will demonstrate significant contributions in the field based on their research and scholarship and will make important contributions in teaching and service. The faculty member should participate in professional service activities within the University and within his or her profession.

Engagement in scholarship and service outside the boundaries of the University in one's area of expertise is encouraged, as is interdisciplinary work with other colleagues. The School of Education recognizes that new and emerging forms of scholarship are pertinent to tenure and promotion decisions. The School also recognizes the importance of providing mentoring for all new and untenured faculty members and that mentors should have their work recognized and valued in the promotion and tenure process.

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The faculty member has the responsibility to be familiar with all deadlines and procedures for reappointment, promotion, and tenure, and to submit required materials for these decisions.

Faculty members are expected to maintain high moral and ethical standards that bring credit to the School and to the University. They are expected to treat others with courtesy and respect and to build and sustain collegial relationships. They are expected to demonstrate leadership in their field of study and with their students. Furthermore, faculty members are expected to demonstrate intellectual integrity, moral probity, reliability, and responsibility.

Research and Scholarship

Faculty members are expected through their research and scholarship to influence practices and bring about improvements in the education of children, youth, and adults or to advance the science and practice of education. The significance of faculty research is evaluated formally at the following times: recruitment/initial appointment, annual review, promotion and tenure review, and required post-tenure reviews. The professional research statements required for the reviews and promotion/tenure decisions should be explicit in identifying the faculty member's contribution to the field and potential for future impacts.

Definition of Research and Scholarship

Research and scholarship include the systematic collection and analysis of information for the generation of new knowledge, for verification of knowledge, or for addressing significant issues in the education of children, youth, and adults. Included are individual, collaborative, and interdisciplinary activities. Information may come from a range of settings, including schools, communities, homes, clinics, laboratories, field settings, and libraries. Activities may be in collaboration with other faculty, individuals from other disciplines, public or private organizations or agencies. Research and scholarship includes empirical work as well as theoretical conceptualizations that influence the research and practice of others.

Research and scholarship generates conceptions, theories and models, or other scholarly products that stimulate research and practice of others. Competence, accomplishment, and reputation in research and scholarship are documented through evidence such as the kinds listed below.

Engaged Scholarship

Scholarly engagement, subsumed under the broader concept of faculty engagement, is defined as "*Scholarly efforts to expand multifaceted intellectual endeavor with a commitment to public practices and public consequences.*" This concept of scholarly engagement has historically been embedded within the scholarship of many faculty members within the School of Education and is engaged in by many current faculty. Thus, this concept is not a new one for the School. Nevertheless, the University's position on the importance of engaged scholarship renews the School's efforts to support faculty in the initiation and conduct of research and scholarship that "*enriches and improves the lives of people in the community.*"

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Within the School of Education, engaged scholarship refers to work focused on significant educational issues that address individual, school, family, community, or other systems level concerns to enhance the education and well-being of children and adults. It is anticipated that this work will most often be collaborative in nature, potentially involving individuals outside the university or from other disciplines. This collaborative work may also be interdisciplinary, designed to address significant education issues at the local, state, national, or international levels.

Evidence/Examples of Research and Scholarly Activity

The following are demonstrations of evidence in both quantity and quality of research and scholarship and must be submitted by an individual for appointment, re-appointment, tenure, promotion, and merit decisions. Evidence may be published or in press.

- Scholarly articles in peer-reviewed journals that focus on one or more content areas or themes, to effect a significant contribution in a particular area of inquiry
- Books, monographs, research reports, and chapters that focus on one or more content areas or themes
- New methods or instrumentation for conducting research
- Published curriculum
- Awards and fellowships for completed and proposed research
- PI or co-PI of funded grant proposals
- Research collaboration with schools or school districts locally, at the state level, or nationally or internationally to address educationally significant issues
- Simulation studies
- New forms of scholarship, using the examples of standards listed below as well as those in the section title New Forms of Scholarship

The following may also be considered as evidence, but may carry less weight than the examples above: Conference presentations, submitted but not funded research grants, reviews of books, articles, or other research/scholarly products published or in press

For multi-authored articles, books, or other scholarship or research, the contribution of the faculty should be described in sufficient detail to enable reviewers to understand the faculty member's` specific contributions (% of time and description of work).

Examples of Standards for Evaluating Research and Scholarship

Examples of significance include the quality of one's publications, as well as the productivity and impact of one's publications, participation on national panels, national presentations, major interventions directed, policy changes accomplished, and peer-reviewed funding. The ultimate assessment is based on the individual's contribution to the advancement of the field of education.

- Peer review and professional acclaim through use, citation, and invited presentation. All evidence should be documented.

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- Publications in peer-reviewed, high quality, high impact journals. Book and monograph publishers have strong reputations. Positive published evaluations of the research/scholarship are available.
- Evidence that research has stimulated the work of other researchers or provided new breakthroughs in the field. Impact of research may influence education practice, theory, or policy.
- Selection as editor or reviewer for scientific publications and grant evaluations.
- Appointments to serve on scientific review or advisory committees based on research accomplishments.
- Procurement of research funding within and outside UNC-CH.
- Evidence of capacity to build and engage in relationships and teams that support research and scholarship.

Teaching

Teaching is a fundamental mission of the university as well as an expectation for all tenure-track and tenured faculty. Teaching takes place in a variety of settings, not only in the formal university classroom, but also in school settings, and other settings appropriate for the supervision of student teachers and students in other professional programs engaged in practica, internships, or other clinical/field-based activities. Teaching includes the supervision of master's theses and projects, doctoral dissertations, and other forms of student research. Teaching may also include collaborating with and providing related training to field-based supervisors (i.e., practicing professionals).

Teaching should be evaluated through multiple methods. Teaching evaluations should address the content, process, and outcomes of teaching. *Content* includes the course goals, course syllabi, course texts and readings, audio/visual materials, class assignments, and laboratory or field-based assignments. Course goals can be informed by various theoretical or empirical approaches (e.g., Bloom's Taxonomy of Educational Objectives, Bloom, 1984; revisions to Bloom's taxonomy, Anderson & Krathwohl, 2001). *Process* includes the delivery of content and the ability to effectively engage students in the teaching/learning process. It may include a variety of teaching methods, including lecture, discussion, small group learning, and cooperative learning activities. *Outcome* is most often determined through student evaluations, but other forms of outcome evaluation are pertinent, including indications of student mastery of content, as well as the evaluation of other impacts of one's teaching (i.e., influences on the field through publications, published curriculum, published textbooks). Teaching honors are also indicators of the quality of one's teaching. Scholarship on teaching and learning may be included under one's scholarship and research, but may also be referenced as part of teaching.

Evidence/Examples of Teaching

In presenting evidence of one's teaching, a teaching portfolio is required and should contain the following items, organized by sections. Faculty should begin the development of a teaching portfolio during his or her first semester of employment as a means of self-evaluation and reflection, as well as a preparation of materials for scheduled reviews.

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- A three to five page statement of philosophy of teaching that includes information of what one views as important in teaching and how these views/theories influence one's practice as well as a self-evaluation of one's strengths and limitations and steps taken to improve one's teaching. Specific efforts to improve one's teaching, such as attendance at seminars or workshops or participation in peer mentoring, should be noted. Goals and plans for teaching enhancement should be included.
- A listing of all courses taught since the last appointment, reappointment, promotion, or tenure review should be included, with a designation of new course development. This information may be in the form of copies of one's annual report on teaching assignments and evaluations. Electronic links to all syllabi with text, readings, and assignments identified should be included, or copies of the syllabi provided.
- Peer teaching observation and review of content, process, and outcomes (Online courses should also have peer observations and reviews included)
- Samples of student work; student portfolio
- Student evaluations of all listed courses
- All master's and doctoral committee advisement listing title and student name must be included
- Evidence of activities to evaluate and improve one's teaching

Other optional evidence may include the following:

- Information on teaching methods, course content, other learning experiences, curriculum development or revision, contributions to educational theory, or empirical studies on teaching.
- Grants to support and enhance instructional activities

Examples of Standards of the Evaluation of Teaching

- Evidence that contributions to teaching are being adopted or are affecting teaching programs in the School of Education or other departments, schools, or institutions
- Evidence of impact of teaching on the professional careers of former students, colleagues, and junior faculty
- Invitations from other institutions to serve as lecturer, staff developer, or visiting professor
- Invitations to serve as a consultant in educational programs and methods
- Clear and compelling examples of excellence in student learning (papers, portfolios, publications, presentations, exhibits, performance on national licensure exams, student self-evaluations; long term impact on former students)
- Evidence of strong student engagement in the teaching-learning process

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- Evidence of quality in teaching obtained from student course evaluations
- Evidence of improvement in one's teaching
- List of teaching/advising honors

Service

Service includes professional and public activities within and outside the University. All faculty members in the School of Education are expected to provide service to the School and to participate fully in faculty responsibilities, including attendance and participation in faculty meetings, serving on and chairing committees, sharing in the work necessary to maintain the operation of the School, and contributing to the growth of the School through efforts aimed at improving programs and facilities. Examples include program coordination activities, participation in recruitment and admission of students, development of field placements, serving on committees (e.g., curriculum committees, search committees, planning committees, governance committees, APT subcommittees, post-tenure review committees), mentoring master's and doctoral students, and mentoring junior faculty members. Service contribution can be evaluated through the quality and quantity of the service and through documentation of the influence and quality of the person's work. Faculty members are also expected to contribute to the maintenance and growth of their profession.

Service specifically includes engaged activities with communities outside the boundaries of UNC-CH. Consistent with UNC-CH recommendations, the School promotes engaged activities within communities that build on the expertise of the faculty member. Such activities will likely be collaborative in nature and may be interdisciplinary.

Faculty members are also encouraged to serve the community at large in a professional capacity that enhances the stature of the University and provides benefits to broader society. Service can encompass both professional service and public service.

Professional service is service to the scholarly community and may occur in various arenas: the School of Education, the University, institutions specific to a discipline, at the local, state, and national levels. Professional service includes but is not limited to service on programs, School, and university committees, leadership in professional organizations, reviewing manuscripts and other editorial endeavors, and review of faculty both internal and external to the School of Education and University.

Examples of Professional Services

- Mentoring junior faculty
- Membership on committees of the Program, School, University, or within the profession
- Other contributions to faculty governance (e.g., conducting special studies for the Program, School, or University)
- Serving in an administrative capacity for the School, a Center or Institute, or University (e.g., Program Coordinator, Dean, Associate Dean, Center Director)
- Leadership in professional organizations
- Serving as an editor or on the editorial board of a professional journal

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- Reviewing manuscripts for professional journals
- Participation or consultation to an accreditation or other educational review board (e.g., NCATE, APA, NCDPI)

Public service may also occur with communities, governments, or organizations at the local, state, national, and international levels. Public service builds upon the faculty member's expertise. Service on panels and commissions, testimony before legislative bodies, and consultations to public agencies are some examples. Community involvement such as service on the PTA for one's child or leadership in a civic or religious organization, while laudable, is not considered public service for purposes of appointment, promotion, and tenure decisions.

Examples of Public Service

- Membership on or leadership of school boards, commissions, or panels where the appointment is based on the faculty member's professional expertise
- Consultations with local schools, communities, states, nations, or other organizations where such consultation is requested because of the faculty member's professional expertise
- Supervision of student projects in School communities and organizations where a primary result of the project was a benefit to the client organization
- Testimony before School boards, commissions, or government bodies where such testimony is directly related to the faculty member's professional expertise
- Preparation of studies, reports, surveys, or analyses, which were responsive to requests from School community organizations or governmental bodies
- Consulting with community organizations or governmental bodies

Significance of Service

- Providing professional development for educational non-university individuals in the field
- Independent judgment of recognized experts regarding the quality and impact of the research
- Professional acclaim through use (e.g., informs research, policy, or practice), citation (data from indexes), or recognition (awards; appointments to national boards)
- Election or appointment to leadership positions of national and international scientific organizations in recognition of outstanding research accomplishments
- Published curriculum
- Program evaluations at local, state, and national levels
- Election of appointment to state, regional, and national committees of recognized importance for educational research, practice, or 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
- Service provided in educational, clinical, or consultative settings

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Administration

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. These leaders hold such titles as chair, coordinator, director, or associate dean, and are officially designated by the Dean.

Examples of Administrative Service

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.

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, and publics served by the unit. 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
- Evidence of strong leadership and vision
- 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

Interdisciplinary Work

The School of Education endorses the following goals and objectives of interdisciplinary research identified by the University as part of its mission.

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The pursuit of interdisciplinary scholarship is an issue of intellectual freedom. Policies, procedures, or academic cultures that discourage or interfere with the pursuit of interdisciplinary scholarship are inconsistent with the University's mission. Not only does interdisciplinary work provide opportunities for creating knowledge in new and unanticipated ways, University support for new work that crosses boundaries and brings together perspectives from new and traditional disciplines can be a factor in the recruitment and retention of the very best scholars and teachers.

Addressing the significant educational issues of our times requires multiple viewpoints and a range of research methodology. Consequently, collaborations among those in education with individuals in psychology, sociology, public health, social work, medicine, and numerous other disciplines is not only appropriate but is also encouraged. Consistent with these goals and objectives of interdisciplinary research, faculty who wish to engage in interdisciplinary work will receive appropriate encouragement and recognition for such work. The School recognizes that interdisciplinary research is by its nature collaborative and thus publications and other products will most likely be multi-authored works.

New Forms of Scholarly Publication and Communication

Consistent with the University's recommendation that all units ". . . *should demonstrate an openness to new forms of scholarly communication and to a diversity of activities and styles*", the School of Education encourages innovation and ambition in new forms of scholarship as well as diversity in activities and style. We recognize that the forms in which faculty disseminate their work will continue to multiply and thus this description of new forms of scholarship and the evaluation of new scholarship will need to be modified as new developments take place.

In the field of education over the past several decades, several new forms of scholarship have become more common, including electronic publications as well as arts-based scholarship such as video productions. These forms of scholarship may include creative ways both to conduct a study and to represent the results of a study. New forms of scholarship may include publication in on-line journals; creation and maintenance of blogs related to one's area of scholarship; creation and oversight of websites; various forms of performance; development of media productions, including film and video presentations; and webinars.

Criteria for Evaluating New Forms of Scholarship

The criteria for such scholarship, whether resulting in publication or creative artistic activity, should demonstrate (a) serious theoretical/conceptual endeavor, (b) engagement with the most current information and perspectives, and (c) a significant contribution to knowledge as judged by appropriate standards of peer and external review. The School of Education expects that the knowledge acquired and generated through new forms of scholarship also be disseminated through appropriate outlets, including publication, to an informed and interested audience.

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Because faculty members are obliged to state their case for the quality, volume, and significance of their research, it is incumbent on the scholar to (a) provide information on the peer review process, (b) establish the impact of the digital scholarship through data such as hit scores and citations, and (c) develop external peer review processes if the form of scholarship does not have them otherwise (e.g., expert opinion, evaluation by participants). This information should include a specification of the review process in the candidate's professional statement, including the candidate's processes for selecting reviewers and their relationship to the candidate and the reviews that result. This information will be sent to the external reviewers of the candidate for comment at the time of consideration for promotion and/or review. The School of Education recognizes that there are multiple ways of determining impact and these will most likely vary across faculty and types of scholarship.

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Part III

Fixed-term Positions

Appointment, Reappointment, and Promotion

General

Like tenure-track faculty members, fixed-term faculty members are an important part of the overall instructional effort in the School of Education and they are also increasingly important to the research and service efforts of the School. Fixed-term appointments may be held in academic programs or other centers of the School of Education. 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. They may have principal or joint appointments in other units of the University, or 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.

Approval to Conduct Search: Searches for new fixed-term faculty who are to be funded 50% up to 100% are approved in writing at the level of the Dean. New appointments to the fixed-term ranks should be proposed only when necessary and appropriate for the program and the School. Fixed-Term appointments can be made to satisfy the requirements of a particular project.

Recruitment and Selection: 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, sexual orientation or veteran status. The final selection decision will be made from among the most qualified applicants.

Decisions: Decisions on faculty appointments 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.

Appointment to Fixed-term Faculty Positions

Lecturer/Senior Lecturer

Lecturer. A lecturer refers to a person whose primary responsibility is teaching, but whose duties may include research or public service. Such persons should be working closely with the School of Education. Appointment to this 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.

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Senior Lecturer. A senior lecturer refers to a person whose primary responsibility is in teaching, but whose duties may include research or public service. Such persons should be working closely with the School of Education. The person should have a demonstrated record of quality in teaching for a period of at least eight years, or have demonstrated a record of quality in relevant professional work related to the content areas for a period of at least eight years. 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.

Clinical/Research Professorships: Instructor, Assistant Professor, Associate Professor, or Professor

Persons appointed to one of these positions should be working closely 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. The appointment may be for part time or full time work.

Persons appointed to any professorial rank in a clinical or research capacity are 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 it serves to fulfill a well-defined need of the School.

Professor of the Practice. Appointment as a Professor of the Practice is reserved for senior level professionals who have obtained a high level of recognition for his or her performance in settings outside the University, such as in school administration or public service. It is expected but not required that these individuals hold the doctorate in his or her field of expertise. Such individuals may be appointed to part time or full time positions for a period of one to five years, with the possibility of reappointment for consecutive appointments or at intervals.

Visiting Professorships: Instructor, Assistant Professor, Associate Professor, Professor

Consistent with UNC-CH policies that make possible the appointment of persons other than regular members of the faculty, the School makes appointments for visiting members of the faculty. These individuals have 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. Persons appointed to any professional rank in a visiting status are expected to meet the same general professional qualifications as a regular appointment to that rank.

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General Responsibilities within the School

Service includes professional and public activities within and outside the University. All faculty members in the School of Education, including fulltime fixed-term faculty, are expected to provide service to the School and to participate fully in faculty responsibilities, including attendance and participation in faculty meetings, serving on and chairing committees, sharing in the work necessary to maintain the operation of the School, and contributing to the growth of the School through efforts aimed at improving programs and facilities. Examples include program coordination activities, participation in recruitment and admission of students, development of field placements, serving on committees (e.g., curriculum committees, search committees, planning committees, governance committees), and serving on committees for master's and doctoral students. Service contribution can be evaluated through the quality and quantity of the service and through documentation of the influence and quality of the person's work. Fixed-term faculty members are also expected to contribute to the maintenance and growth of their profession. Full time fixed-term faculty is held to a higher standard for service than part time fixed-term faculty. Full time fixed-term faculty will be held to the same criteria as tenure track faculty in his or her assigned area of responsibility.

Review of Fixed-Term Appointments

Appointment, Reappointment, or Promotion

For appointment, the Program Coordinator will initiate a written request, identify the needs of the School, and identify the qualities of the particular individual to fulfill the need in the School. Support for the faculty appointment at the program level should be reported. An updated CV and other supporting materials (i.e., teaching evaluations) should be submitted to the Dean. New fixed-term appointments funded 50% up to 100% must be approved in writing at the level of the Dean and hired through a recruitment or search procedure. Appointments are to a rank consistent with experiences, but must adhere to the terms of the position for which a person is being recruited.

For reappointment, the Program Coordinator completes a Fixed-term Appointment-Reappointment Form provided by the HR Director that includes a statement of the program need, the fit of the candidate for this need, and what the candidate will provide during the reappointment period; a table of courses taught with the overall instructor and student course ratings; additional student evaluations; the candidates curriculum vitae; and indication whether or not graduate courses will be taught. The Program Coordinator submits a recommendation to the appropriate program within the School of Education for review by the faculty in the program area. The faculty in the area may agree to support or not support the recommendation. (This information then goes to the HR Director who summarizes information on all fixed-term appointments/reappointments for review by the senior faculty and Dean). Following a review and recommendation in the senior faculty meeting, each full time, fixed-term candidate up for re-appointment will be notified by the Dean or the Dean's designate within 5 business days either in-person or by email about their re-appointment decision. A fixed-term faculty not being

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recommended for reappointment is customarily notified by letter from the Dean at least three months prior to the end date of his or her fixed-term appointment. However, under section 2.b.5 of the University Trustee Policies and Regulations, such notice of intent to reappoint is not required.

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.

Promotion Procedures

Because there is no requirement or expectation that a fixed-term faculty member seek promotion, the faculty member will not receive notices or reminders of the promotion process. It is the responsibility of the fixed-term faculty member seeking promotion to inform the Dean or the Dean's designate in writing. This communication will begin the process. New fixed-term faculty may seek promotion after a minimum of 2 years of employment with the School of Education. In general, for fixed-term faculty, an assistant professor would not see promotion before five or more years of service and an associate professor would not seek promotion prior to eight or more years of serve.

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 following exception: only two external review letters are required and may be from individuals who are familiar with the person's work related to their School of Education assignment. Letters do need to be from other professionals but do not need to be from faculty at other universities.

Any promotions within the fixed-term ranks will be given careful attention and consideration. Each recommendation for promotion shall be based upon considerations of the candidate's demonstrated professional performance and of the needs and resources of the University. Three major elements are at the core of our mission, and therefore determine the major criteria by which promotions are judged:

1. Research, or the creation of new knowledge pertinent to the field of education;
2. Teaching, or the dissemination of knowledge to students, educators, and the public;
3. Service within the School of Education, the University, the community, the state, the nation, and internationally, including the advancement of the innovative application of knowledge to enhance the education of children and youth.

It is expected that all full time fixed-term faculty members will demonstrate an impact upon the one area of primary responsibility (teaching, research, or administration). The full time fixed-term faculty member *may also* make important contributions in other areas, but doing so is not a requirement for promotion. In addition, it is expected that the faculty member contribute to the program, School, university, profession, and community through professional and public service appropriate to the rank. Furthermore, consistent with the University goals for engaged scholarship, clinical faculty whose primary responsibility is in research are encouraged to

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participate in these activities and, when appropriate, such activities may be included in considerations for promotion.

Fixed-term faculty should refer to the information in Part II on research, teaching, service, and administration. The same criteria used for tenure-track faculty apply to part time or full time fixed-term faculty in their area of responsibility.

Fixed-term faculty whose primary responsibility is research should refer to the research section of this manual. Fixed-term faculty whose primary responsibility is research may also teach periodically. Such teaching must be included with respect to his or her application for promotion and the teaching guidelines in Section II will apply.

Fixed-term faculty whose primary responsibility is teaching should refer to the teaching section in Part II of this manual. These specific criteria apply to fixed-term faculty whose primary responsibilities are related to teaching. Fixed-term faculty whose primary responsibility is teaching may conduct research, and such research may be offered additionally with respect to his or her application for promotion. In this latter case, these research guidelines would be considered.

Fixed-term faculty whose primary responsibility is administration should refer to the administrative section in Part II of this manual. These specific criteria apply only to clinical faculty whose primary responsibilities are related to administration. Fixed-term faculty whose primary responsibility is administration may teach in the School of Education. If so, information on teaching consistent with procedures under Section II will be submitted for evaluation. If this individual conducts research, these activities may become part of his or her application for promotion. In such cases, the guidelines for research will be considered.

All full time fixed-term faculty members are expected to engage in service activities. The same criteria for service identified for tenure-track faculty related to the School of Education are to be used for evaluating service for fixed-term faculty. Full time fixed-term faculty members are held to a higher standard for service in the School of Education than part time fixed-term faculty.

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Part IV

Post-Tenure Review

The Trustee Policy for Review of Tenured Faculty, effective September 1, 1998.

Purpose: Post-tenure review is a systematic process for the periodic, comprehensive review of the performance of all faculty members having permanent tenure and whose primary duties are teaching, research and service. The goals of post-tenure review are to promote faculty development, ensure faculty productivity and provide accountability. The post-tenure review process should respect the basic principles of academic freedom. Post-tenure review does not abrogate, in any way, the due process criteria or procedures for dismissal or other disciplinary action established under the Trustee Policies and Regulations Governing Academic Tenure. The policies and procedures presented below incorporate the basic principles of the policies established by the Board of Governors in Memorandum #371.

Policy: Each faculty member is subject to post-tenure review no less often than every five years following the conferral of permanent tenure. Reviews must examine all aspects of a faculty member's academic performance and must involve faculty peers. Comprehensive evaluations conducted for other purposes, such as a review for promotion, may be substituted for or combined with post-tenure review. A review may be delayed for compelling reasons approved by the Provost.

Procedures: . . . The unit head shall notify a faculty member at least six months in advance of an upcoming post-tenure review.

- The review should involve an examination of qualitative and quantitative evidence of all relevant aspects of a faculty member's professional performance over at least the previous five years in relation to the mission of the department, school and institution. Each faculty member being reviewed should provide a concise summary of accomplishments and plans. Additional evidence for the review may include annual merit reviews, a current curriculum vita, copies of publications, evaluations of teaching, and other documentation of contributions and accomplishments.*
- The Post-Tenure Review Committee will provide to the faculty member and the unit head a written summary of its conclusions with regard to his or her overall performance and, where appropriate, its recommendations.*
- The faculty member being reviewed must be given an opportunity by the unit head to provide a written response to the report of the Post-Tenure Review Committee. The unit head will maintain a record of the Committee's report and any response to it as a part of the faculty member's confidential personnel file within the unit. When the unit head is being reviewed, the administrative officer at the next higher level will assume the function of the unit head in the review process.*
- The post-tenure review process should identify and recognize outstanding performance by faculty members. The process may also identify specific areas in which faculty members can improve and, in such cases, the process should result in specific recommendations and plans for improvement. For faculty members whose overall performance reflects substantial deficiencies, a more comprehensive plan for improvement (a development plan) should be prepared.*

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- *Development plans should be established jointly by the faculty member being reviewed and the unit head on the basis of the evaluation and recommendations provided by the Post-Tenure Review Committee. Faculty development plans should be individualized and flexible, taking into account the faculty member's intellectual interests, abilities, and career stage, as well as needs of the unit and institution. The development plan should establish clear goals, specify steps designed to achieve those goals, define indicators of goal attainment, establish a clear and reasonable time frame for the completion of goals, identify any resources available for implementation of the plan, and state the consequences of failure to attain the goals. Annual reviews should be used to assess progress toward goals specified in the plan. The unit head should acknowledge in writing a faculty member's clear improvement and the successful completion of a development plan.*
- *A faculty member whose overall performance has been found to show substantial deficiencies and for whom a development plan has been recommended will have the right to appeal the findings of the Post-Tenure Review Committee and the recommendation for a development plan to the dean or next higher level administrative officer beyond the unit head, whose decision shall be final.*
- *In the case of a faculty member who fails to complete a development plan successfully and whose performance continues to be deficient, the unit head should notify the dean, who will consider whether grounds for dismissal or other disciplinary action exist under the Trustees Policies and Regulations Governing Academic Tenure. Dismissal or severe sanction may be imposed only in accordance with and on the grounds stated in the Trustees Policies and Regulations Governing Academic Tenure.*

School of Education General Policies

All matters relating to post-tenure review are confidential. All those who participate as members of the Post-Tenure Review Committee or who otherwise advise on individual cases should be advised of their obligation to abide by this requirement.

Comprehensive evaluations conducted for other purposes, such as promotion, may be substituted for post-tenure review. Annual reports may inform but not substitute for the post-tenure review.

The faculty believes that the post-tenure process should be as efficient, straightforward, fair, functional, constructive, and flexible as possible.

Responsibilities of the Dean

The Dean is to ensure that each tenured faculty member is reviewed at least once every five years following conferral of permanent tenure. More frequent review may be made at the discretion of the Dean. The review must examine all aspects of faculty activities and performance. Each faculty member who is to undergo review will be advised by the Dean of the upcoming review at least six months before the start of the review.

The Dean will review the Post-Tenure Review Committee's work and determine if additional consultation/review is needed. If the Post-Tenure Review Committee concludes that the faculty

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member being reviewed has a record of overall performance that reflects substantial deficiencies, the Dean will meet with the faculty member and establish a development plan designed to assist the faculty member in addressing such deficiencies. The plan should include clear goals, specific steps designed to achieve those goals, definite indicators of goal attainment, a clear and reasonable time frame for implementation of the plan, and identification of the consequences of failure to attain the goals. Faculty development plans should be individualized and flexible, taking into account the faculty member's intellectual interests, abilities, and career stage, as well as the needs of the School. The plan will be filed in the faculty member's personnel file. In the event that a development plan is established, the faculty member in question is reviewed on an annual basis by the Dean until such time as the faculty member being reviewed demonstrates successful completion of the development plan. The Dean should acknowledge in writing the faculty member's successful completion of a development plan. In the event substantial deficiencies in performance continue to exist at the end of the three-year period, the Dean will notify in writing the faculty member and make a recommendation regarding any remedial action, consistent with Trustee Policies and Regulations Governing Academic Tenure.

When faculty members being reviewed are found to have evidenced superior overall performance, the Dean may initiate other forms of positive recognition (i.e., recommendation for awards).

The Dean will maintain the Post-Tenure Review Committee's final report and the faculty member's response, if applicable, in the faculty member's confidential personnel file. If a development plan is required, then all background information and other materials used in the review are kept for a period of five years.

At the request of the Provost's Office, the Dean's office prepares and submits an annual report specifying the number of faculty members reviewed during the previous year and the number of evaluations that are given using the UNC-CH category system (deficient/unsatisfactory, satisfactory, above average, superior). In addition, information is presented on whether and how many development plans were recommended.

Expectations of Faculty Members

All members of the faculty are expected throughout their careers to maintain the standards of excellence in teaching, scholarship, and service as described in the School's APT Policy Manual. Evaluation of performance will take into account changing expectations at different stages of faculty careers. Each faculty member who is to undergo review in a given year will take an active role in the post-tenure review process by assisting with planning, preparing relevant background information, engaging in constructive dialogue with colleagues and the Dean, and participating in creation of a development plan, if needed, to address deficiencies in performance.

Each tenured associate and full professor being reviewed should provide the following:

- A concise summary of accomplishments for the preceding five years and plans for the next five years (not to exceed 750 -1000 words).

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- An updated CV.
- Copies of the last five years of annual reports (including course assignments, course evaluations, dissertation and thesis advisement, other student advisement, publications, and service activities)
- If desired, supporting materials selected by the faculty (such as copies of books).
- Tenured associate professors are to provide additional information on scholarship, including copies of all publications during the preceding five years (e.g., journals, books, conference proceedings, etc.), as well as any other supporting evidence indicating national prominence in one's field. Tenured associate professors are also to have a review of their teaching, following the same procedures identified for untenured professors (see pages 28-29), with two faculty members providing a review of teaching evidence, including in-class observations.

The Dean may also provide the Post-Tenure Review Committee with additional pertinent information developed during periodic merit reviews and information relating to the faculty member's ongoing work within the School.

Post-Tenure Review Committee Composition and Responsibilities

(Revision passed by FEC vote on 4/11/13)

The School of Education Post-Tenure Review Committee consists of five tenured full professors elected by the tenured faculty. Members' two-year terms are staggered to ensure continuity on the committee. A subcommittee of three members, with one serving as chair, conduct individual faculty member reviews. The faculty member may request a change in one member of the designated subcommittee.

The Post-Tenure Review Committee will use all the evidence provided by the faculty member being reviewed and the School in evaluating performance. The review process will be conducted in a way that provides the faculty member being reviewed, the Dean, and the members of the Post-Tenure Review Committee with relevant information concerning the faculty member's accomplishments and plans in the areas of teaching, scholarship and service in relation to the mission of the School and University over the course of at least the previous five years. Either the faculty member or the chair of the faculty's review committee may request a meeting prior to the time the committee prepares its report, for the purpose of discussing teaching, scholarship, service, and other accomplishments, or to seek clarification of submitted information.

The Post-Tenure Review Committee prepares a written report summarizing its findings and also makes recommendations, when appropriate. Within its report, the Post-Tenure Review Committee will advise the faculty member being reviewed and the Dean on its conclusions regarding the faculty member's performance, using the UNC-CH category system (deficient/unsatisfactory, satisfactory, above average, superior). The Post-Tenure Review Committee may also provide informal peer advice and recommendations to the faculty member being reviewed and to the Dean.

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The final post-tenure review report is submitted to the Dean or a representative of the Dean for review before the final report is sent to the faculty member under review. The faculty member being reviewed is afforded an opportunity to review the report and provide a written response to the Post-Tenure Review Committee within two weeks of the report being sent to the faculty member. Based on this response, the Dean may ask the Committee to re-visit its recommendations. The final Post-Tenure Review and faculty member's response (if applicable) are kept in the faculty member's confidential personnel file.

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PART V

Faculty Mentoring

Mentoring is central to both individual and institutional success and as such should be thoughtfully planned and implemented. The purpose of mentoring is to meet the goals of the mentee related to his or her faculty role at UNC-CH. In general, these goals will include supporting the mentee's development as a researcher/scholar, a teacher, and a contributor of professional and public service, as well as helping the mentee balance these activities. Mentoring requires a trusting, confidential relationship built on mutual respect. The best mentoring relationship creates a safe space in which the faculty member can openly and honestly discuss challenges, problems and concerns, and be assured of confidentiality as well as advice and support.

Mentorship is identified as an important aspect of School of Education service. Tenured faculty members have a responsibility to support and advise their junior colleagues and should list their mentoring activities as part of their service in their annual report. Such service should be recognized by the Dean in evaluating faculty professional service. Faculty members with competence in mentoring are encouraged to serve as research mentors; other faculty members are encouraged to build their mentoring skills.

Junior faculty should be proactive in developing mentoring relationships and are responsible for taking advantage of the mentorship opportunities available to them. At times, newly employed faculty members at the full professor level or associate level will also benefit from a mentoring relationship with a more senior faculty member. Faculty members who have gained tenure through promotion from assistant to associate professor at UNC-CH may also benefit from an ongoing mentoring relationship with a more senior faculty member.

General expectations of the mentoring processes

The School of Education is committed to the position that no faculty member should fail to be promoted for lack of adequate mentoring. The Dean is responsible for making judicious hires and then optimally supporting and mentoring those faculty members. To facilitate the mentoring process, the Dean will appoint a faculty member to serve as the Mentoring Coordinator. This person will serve as a mentor for junior faculty members as well as for new tenured faculty, and will ensure each junior faculty member has a Research Mentor.

The Dean will request a written status report on each assistant professor each year from the Mentoring Coordinator documenting mentoring activity and progress toward re-appointment using School of Education criteria. Any concerns about a faculty member's likelihood of successful promotion should be fully disclosed in writing and shared in person with the faculty member by June of each academic year.

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Mentoring Coordinator Responsibilities

The Dean appoints a faculty member to serve as the Mentoring Coordinator. (The Dean has established a Faculty Advisor and Research Coordinator position and part of the responsibility of the person in this position is to serve as the Mentoring Coordinator.) A key responsibility of this person is to provide and coordinate mentoring for new tenure-track assistant and associate professors with regard to the tenure-track process and to serve as a resource for assistant professors and new associate or full professors in terms of providing guidance and answering questions about the tenure track-process or post-tenure review process.

In combination with the Dean, the Mentoring Coordinator provides social knowledge pertinent to success as a faculty member, especially what is valued and rewarded within the university, and clarifies expectations for all roles and responsibilities. The Mentoring Coordinator is responsible for informing junior faculty members of the steps, deadlines and paperwork required in the promotion and tenure process and for conveying the School of Education's performance expectations. The Mentoring Coordinator works with the junior faculty on topics pertinent to their development as a faculty member, including research/scholarship, teaching and service, and makes sure the mentee is aware of the many resources available on campus, such as the Center for Faculty Excellence, the Provost's Website with critical promotion and tenure information, and junior faculty development grants.

The Mentoring Coordinator is responsible for ensuring that each junior faculty member has one or more Research Mentors. The junior faculty member, with the assistance of the Mentoring Coordinator, identifies appropriate faculty to serve as Research Mentors. This mentorship relationship is formalized by a written signed agreement between the mentor and faculty member.

Mentoring Relationship Guidelines

Ultimately the success of a mentoring relationship depends on the commitment of the individuals involved and for this reason mentees are the best persons to select their research mentors. Mentors help a junior faculty member learn how to weave his or her research, teaching, and service into a coherent whole, thereby identifying a clear path to promotion and tenure. A Research Mentor should meet at least once a semester to review the faculty person's research quality, productivity, and progress, and to advise the faculty person regarding the best next directions. It is important for mentors to initiate meetings and activities with his or her mentee because junior faculty can be, at times, hesitant to ask for time and uncertain about the kinds of help that might be available.

Research Mentors should assist the Mentoring Coordinator in clarifying expectations for the mentee, especially as they relate to research and scholarship. They should assist the mentee in developing a professional plan of action and provide ongoing feedback to ensure faculty members know how they are progressing in relation to expectations and timelines. The mentor should encourage the mentee to conduct a self-evaluation of professional knowledge and skills, identifying their own strengths and areas for improvement, as well as areas where the mentor can be of assistance. The mentor should prepare an annual report for the mentee and Dean related to

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the professional plan and progress in relation to expectations and timelines as well as other pertinent information.

Listed below are additional illustrative activities for the Research Mentor that can be implemented based on the needs of the mentee:

- Explain *impact* of work and how to position one's work to attain impact.
- Read and critique articles written by the mentee and help identify appropriate journal outlets.
- Discuss quality of work and ways of evaluating quality.
- Help the mentee gain knowledge about differences in quality of publication outlets.
- Help the faculty member interpret reviewer/editor comments on submitted manuscripts.
- Provide encouragement to continue to seek publication outlets and advice regarding possible outlets following rejection of manuscripts.
- Help mentee network by identifying two or three nationally known scholars in the faculty person's field and asking them to read and critique the faculty person's scholarship prior to submission.
- Help the mentee network to gain visibility on committees for national organizations and/or advise about how to accomplish such networking.
- Work with other SOE research mentors to offer group writing conferences to untenured faculty for manuscripts they are working on.
- Suggest appropriate conference outlets for presentations.
- Recommend the mentee for activities that will help him or her establish a national reputation, such as speaking at conferences and participating in symposia workshops
- Provide advice and support on grant funding opportunities and help the faculty member stay abreast of them.
- Provide the mentee advice on grant applications.

Mentoring of Full Time Fixed-term Faculty

Each new full time fixed-term faculty should have a mentor assigned during his or her first year to help the faculty member understand the assigned work load, job expectations, and general university and school work environment. The appropriate assistant or associate dean responsible for ensuring the course load of the individual should assume this role, meeting individually once a semester with the new faculty member during the first year of employment.

Program coordinators are also expected to provide mentoring for any fulltime fixed-term faculty within the program area, meeting at least once a year to discuss work assignments and performance (including teaching ratings), and to encourage professional development and career planning.

Furthermore, the Dean should appoint a senior fixed-term faculty member to serve as a general mentor to all fixed-term faculty; this individual should hold a group meeting at least once a year to provide a forum for communication and professional development.

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Fixed-term faculty wishing to be considered for promotion should make this intent known at least a year in advance of the time they wish to be considered. The Dean or appropriate assistant or associate dean should assign an appropriate faculty member to mentor this individual in the promotion process.

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Part VI

Peer Evaluations of Teaching

Syllabus Review

Criteria will be identified for the review of faculty syllabi, including relevance of materials, currency of materials, comprehensiveness, clarity of assignments, assessment procedures, and inclusion of essential content into syllabi (e.g., honor code, disability, and anti-discrimination policies).

Teaching Observation Requirements for Untenured Faculty (approved February 1998).

Current procedures are identified below. New procedures will include a systematic format for all peer evaluators to follow, including specific categories related to the observation of classroom teaching. Procedures for faculty whose teaching includes more than 25% of online teaching will also have their online teaching reviewed.

- The faculty member under review identifies two members of the faculty to review his or her teaching and to make in classroom observations. One observer must be a senior faculty member. The second faculty may be either a tenure track senior faculty member or a fixed-term faculty member at the rank of associate professor or higher.
- The faculty member will choose the course(s) and negotiate the observation schedule. 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.
- Two classes will be observed by prior arrangement with the faculty member. Both observers must attend the same two classes. Students should be fully informed in advance of the observation.
- Observers may choose any method to record their impressions of the classes they visit, unless the School of Education specifies a method. They are required to summarize their impressions in writing as soon as possible.
- A post-observation conference including the observers and the faculty member should occur within two weeks of the last observation to discuss whether the specific goals, objectives, and methods set by the faculty member were successful.
- The observers should be available to discuss the classes they observed and to meet 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

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finalized. The faculty member may submit his or her own analysis addressed to the Dean and submitted to the HR Director.

Timeline for teaching evaluations

Pre-tenure reappointment

Faculty to be considered for reappointment will be notified by the Dean or the Dean's designee the semester they need to be observed prior to coming up for reappointment. The faculty member will be observed either one or two semesters before the semester in which their case will be reviewed.

The final written report should be addressed to the Dean and the original submitted to the HR Director by the deadline as indicated in the Program Coordinator letter.

Tenure appointment

Faculty to be considered for tenure will be notified by the Dean or the Dean's designee about their teaching observation at least one year prior to the decision point. The observation can occur either one or two semesters before the semester in which faculty members submit their documents for tenure review.

Faculty up for tenure will be notified by the Dean or the Dean's designee the semester they need to be observed prior to coming up for review. The faculty member will be observed either one or two semesters before the semester in which their case will be reviewed.

The final written report should be addressed to the Dean but the original must be submitted to the HR Director by the deadline as indicated in the Dean or Dean's designee's letter.

Faculty Professional Development for Teaching

Faculty members are encouraged to engage in professional development related to their teaching, beginning in their first semester of employment. Faculty members who have not previously taught, or who have had limited supervision and advice on their teaching, are encouraged to work with the Mentoring Coordinator to set up specific activities that can provide them with feedback and suggestions on their teaching within their first semester of employment. Several resources are available on the UNC-CH campus for this purpose. Faculty members in the School of Education who have established reputations as strong teachers can serve as teaching mentors. Faculty can also work in pairs, observing one another during classes, and providing each other with feedback and suggestions. Faculty may also consider video recording their teaching for self-evaluation and/or evaluation by others. Finally, faculty may take advantage of resources provided through the Center for Faculty Excellence.

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Part VII

Procedures for Decisions on Appointment, Reappointment, Promotion, and Tenure

Faculty responsibility

Each faculty member has the responsibility to assemble and send forward to the School of Education all material necessary for an appointment, reappointment, promotion, and/or tenure. Detailed guidelines are presented in earlier sections.

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 APT subcommittee and placed with the candidate's materials.

APT Subcommittee and Dean's Responsibilities

The Dean identifies faculty members to serve on specific APT subcommittees. All faculty members are expected to serve when requested, unless a conflict of interest or other concern would make it inappropriate for the faculty member to serve on the committee. To the extent possible, the Dean should ensure that at least one APT subcommittee member has expertise in the faculty member's area of scholarship. For decisions on assistant professors, the Dean should seek to appoint an associate professor to the APT subcommittee when possible.

The APT subcommittee has the following responsibilities:

- 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, resides 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.
- The chair of the committee is responsible for ensuring that letters from external reviewers are filed with the candidate's materials.
- 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, including a recommendation related to status on the Graduate Faculty, if appropriate.

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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 to review the materials *prior to* the senior faculty meeting in order to be eligible to vote on the candidate. A log is placed with the materials so that senior faculty members may indicate the date and time of their reviews.

Senior Faculty Meeting Procedures on Appointment, Promotion, and Tenure

(Revision passed by FEC vote on 1/31/13)

Within the School, the term **senior** faculty refers to all faculty members with tenure, including both full and associate tenured professors. It also includes full-time clinical faculty members at the associate and full professor ranks. Senior tenured faculty makes decisions for all fixed-term faculty ranks, tenure-track assistant professors, and tenure-track and tenured associate professors. Only full tenured professors make decisions regarding the rank of professor. Clinical senior faculty only make decisions on fixed-term faculty promotion or renewal.

For all promotion and tenure decisions, a quorum shall consist of the majority plus one of the members eligible to vote on any given candidate. When necessary for University review/approval deadline purposes, at the request of the Dean, an expedited Appointments, Promotions and Tenure Committee review can take place.

Order of Review: 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), then review the associate professors, followed by a review of individuals in full time fixed-term appointments, following the same order. Part time fixed-term appointments are then considered, following the same order. Only Full Professors vote at the rank of Professor.

Deliberation: The assembled senior faculty will assume the responsibility of advising the Dean after having heard the presentation of the APT subcommittee's evaluation of the candidate's credentials and having heard the program chairperson's evaluation. The advice to the Dean will be both oral discussion and by written confidential vote of the assembled senior faculty eligible to 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. The deliberations of the senior faculty are confidential. Minutes of this meeting, including results of votes taken, should provide a summary of the discussion so as to provide an accurate record of the proceedings.

Responsibilities of the Dean

The Dean ensures that all promotion materials are readily available in the room of the convened faculty for reference if needed.

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The Dean ensures the following topics are reviewed in the designated appropriate order: research, teaching, and service and, when appropriate, engaged scholarship and administration. This format should include the following:

- (a) The Dean begins the discussion by making any pertinent comments related to appointment, tenure, and/or promotion of the individual faculty member.
- (b) The APT subcommittee chair and the members make its report, addressing the designated topics above in the designated order, and concluding with a recommendation. The report will be summarized, not read. Salient features of each area should be reported.
- (c) Following the committee report, the Dean calls for discussion on each topic in order (research, teaching, service, engaged scholarship, administrative work), ensuring that each topic is brought to the floor for discussion. Committee members may be asked to elaborate on points.
- (d) The Dean ensures parliamentary procedures are adhered to during discussions.
- (e) The Dean ensures that all voting procedures called for by the University and the SOE are adhered to.
- (f) Voting procedures: Voting on tenure track positions is by anonymous written ballot. Ballots are color coded specifying rank (i.e., associate or full professors) so that an accurate recording of votes by rank can be obtained. Votes are recorded as yes, no, or abstention.

Materials for University Review

Written materials must include a letter from the Dean that clearly indicates: the criteria upon which the faculty member is being recommended for appointment or promotion; how the faculty member meets the criteria specified in this manual; and the vote of the assembled senior faculty of the School (as designated above).

The Dean's letter must also indicate what impact the faculty member's work has had, or is likely to have, in the field of education. If a promotion is early for time in rank at UNC-CH, the letter must include a strong justification, and the materials must clearly document and attest to the earliness.

The Dean will forward the materials to the Provost's Office by the specified date. 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

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the nature and structure of the appeal process should the individual choose to appeal the decision of the Dean.

Outside Letters of Recommendation

Four outside letters of recommendation are required for tenure track appointments and promotions. The following UNC policy describing letters of recommendation is adhered to by the School of Education: *A minimum of four (4) letters of evaluation are required: all four (4) from outside the institution, all from individuals independent of the candidate, two from a list provided by the candidate and two from individuals selected by the Department Chair or Dean, as appropriate. Ideally, all of the letters should come from research universities (RU/VH) with very high research activity.*

The purpose of these letters is to provide an independent and unbiased assessment of the individual's national and international reputation. Therefore, the request from the Department Chair or Dean to prospective writers of outside letters of evaluation should be phrased neutrally and should not solicit an affirmative response or recommendation. The letters may not be from individuals who have been directly involved with a candidate, e.g., a collaborator, mentor, previous co-worker, former dissertation chair, etc., but may be from individuals who know the candidate through professional interactions, e.g., reviewed the candidate's publications or served on review committees together.

For fixed-term appointments, two external review letters are required and may be from individuals who are familiar with the person's work related to their School of Education assignment. Letters need to be from other professionals and do not need to be from faculty at other universities.

All letters of recommendation are made available to the APT subcommittee and voting members of the senior faculty prior to the senior faculty meetings.

Appeals

The procedure whereby a faculty member may appeal a non-reappointment decision is specified in the Trustee Policies and Regulations Governing Academic Tenure in UNC-CH, (2009)(see Section 4, "Non reappointment of faculty members on a probationary term appointments").

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Part VIII

Annual Report

All faculty members are required to submit detailed electronic annual reports using the School of Education electronic form, addressing their teaching, research, and service.

Use of Annual Report

The preparation of these reports serves a data reporting need of the School of Education. An equally important purpose is the ongoing professional development of each faculty member. Consequently, these annual reports will be thoughtfully reviewed in the Dean's Office and systematic feedback provided to all tenure-track and tenured faculty. All full time fixed-term faculty members should also receive systematic feedback on an annual basis.

The Dean will meet individually, annually, in person, with each tenured and tenured track faculty to discuss the person's annual report, to provide feedback, and to review future plans, usually within ten weeks of the submission of the report. The Dean should also review with the faculty member the program coordinator's annual letters at the time of the meeting (if an annual letter is required of the program coordinator.) A written report of the Dean's meeting with the faculty member will be prepared, given to the faculty member, and filed in the personnel folder. Any concerns related to later reappointment, promotion, and/or tenure are to be addressed in this written report.

The Dean or the designed assistant or associate dean will meet annually with each fulltime fixed-term faculty to discuss the person's annual report, to provide feedback, and to review future plans and professional development, usually within ten weeks of the submission of the report. This meeting may be held in combination with the program coordinator's meeting with fixed-term faculty.

Annual reports are used for reappointment, promotion, and tenure decisions. The amount of data collected annually, if made available in an easily assessable format, can facilitate the preparation of review materials by faculty members, and result in a reduction in time spent compiling information. To this end, the School will make it possible for faculty to access their annual reports electronically for a period of at least five year in order to facilitate the preparation of materials for promotion, reappointment, tenure, and post-tenure reviews.

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Appendices (see second attachment)

Appendix A: School of Education Documents Required for Senior Faculty Review

Appendix B: Provost Level of Reviews

Appendix C: Provost Standard List of Required Documents for Tenured and Tenure-Track

Appendix D: Provost Standard List of Required Documents for Fixed-Term

Appendix E: Provost Standard List of Required Documents for Fixed-Term 50% or less

Appendix F: Provost Standard List of Required Documents for Non-Salaried Appointments

Appendix G: Example of a letter soliciting an external letter of recommendation for a Tenure-track position

Appendix H: Example of a letter soliciting an external letter of recommendation for a Fixed-Term position

Appendix I: Timeline for Tenure-Track Reviews

Appendix J: Timeline for Fixed-Term Reviews

Appendix K Teaching portfolios

Appendix L: Peer review of teaching form

Appendix M: Appeal for Extension of the Tenure-Clock form

Appendix N: How to Present an Effective Promotion/Tenure Dossier

Appendix O: School of Education Post-Tenure Review Form