

# APPOINTMENTS, PROMOTIONS, and TENURE MANUAL<sup>1</sup>

Version: January 2024

Approved by the faculty of the School of Civic Life and Leadership on January 8,  
2024.

*Appointments, promotions, and the awarding of tenure in the UNC School of Civic Life and Leadership (SCiLL) are governed by The University of North Carolina at Chapel Hill policies, including by not limited to [The Faculty Code of University Government](#); [Trustee Policies and Regulations Governing Academic Tenure in the University of North Carolina at Chapel Hill](#); and [Appointment, Promotion & Tenure Guidelines in the Faculty Handbook](#). These documents are incorporated herein by reference. In case of conflict, the policies set forth in the University documents are controlling.*

**Document History:** This version of the School of Civic Life and Leadership Appointments, Promotion and Tenure (APT) Manual was approved on January 8, 2024 after discussion and a vote by members of the SCiLL faculty.

**Style note:** In this document the School of Civic Life and Leadership is referred to by its full name or, as appropriate, by “SCiLL” or “the School.”

---

<sup>1</sup> We thank the UNC School of Data Science and Society for permission to adapt their APT document to create our own SCiLL APT document.

## Table of Contents

Preamble .....	3
I. Definitions.....	3
II. General Information on Appointments, Promotions and Tenure .....	5
III. Types of Appointments .....	7
A. Tenure-Track Appointments and Ranks.....	7
B. Fixed-Term Appointments.....	8
IV. Standards and Criteria for Appointment and Promotions – General Criteria for All Tracks .....	12
V. Standards and Criteria for Appointment and Promotions – for Specific Tracks.....	19
A. Tenure-track Ranks.....	19
B. Fixed-Term Ranks – Research and Teaching Appointments .....	21
C. Fixed-term Professor of the Practice .....	22
VI. Procedures for Proposing, Reviewing, and Tracking Appointments and Promotions .....	23
A. Committee on Tenure and Promotion.....	24
B. Documentation for appointment, promotion and/or tenure .....	25
VII. Faculty Mentoring .....	34
VIII. Post-Tenure Review .....	36

## Preamble

The faculty are central to the activities and accomplishments of the School of Civic Life and Leadership. These standards for appointments, promotions, and tenure are intended to guide the hiring and advancement of a diverse and interdisciplinary faculty as they progress along their career ranks. Accordingly, this document applies to all faculty tracks and ranks, articulating the commonalities that link faculty across the many different types of appointments and activities while also addressing specific considerations for appointment and promotion within distinct tracks and ranks.

### I. Definitions

#### A. *Appointment*

The initial faculty title or rank assigned to an individual external to the School. It also applies to a person within the School, transferring from the SHRA category to an EHRA appointment or from one category of EHRA appointment to another.

#### B. *Promotion*

Increase in rank within a given track of faculty appointment.

#### C. *Tenure-track*

Faculty appointments that have the possibility of promotion or reappointment with tenure. Tenure-track ranks are instructor with special provisions, assistant professor, associate professor. Professor is a tenured rank; associate professor can also be tenured. Tenure is conferred following an assessment of demonstrated accomplishment in teaching, research, and service, as described in section IV, Standards and Criteria for Appointment and Promotions – General Criteria for All Tracks.

#### D. *Fixed-term*

Fixed-term appointments are for a specified number of years and are renewable but without tenure. Faculty positions may have a primary focus on teaching or research. All faculty are, however, expected to engage in service, teaching, and research consistent with School guidelines, as described in section IV, Standards and Criteria for Appointment and Promotions – General Criteria for All Tracks.

#### E. *Probationary term*

The period of time during which an assistant professor or associate professor serves prior to promotion or tenure. Details vary for tenure and fixed-term tracks and are described below in Sections IV and V and in the Trustee Policies.

#### F. *Tenure Policy*

The Tenure Policy can be found in the Trustee Policies and Regulations Governing Academic Tenure in the University of North Carolina at Chapel Hill.

### *G. Voting*

In general, faculty vote for considerations that are at or below their own rank. Fixed-term faculty, including professors of the practice, do not vote on tenure decisions or promotion of tenured faculty. However, tenured faculty – associate and full professors – do vote on fixed-term faculty appointments and promotions.

### *H. Full Faculty*

Full faculty refers to both tenure-track/tenured and fixed-term faculty at all ranks, including assistant, associate, and professors, as well as professors of the practice.

## II. General Information on Appointments, Promotions and Tenure

### A. *New appointments*

New appointments in the School of Civic Life and Leadership will be proposed when feasible and appropriate for the School. To ensure coordination and oversight, new faculty positions, regardless of rank or track, must be approved by the SCiLL Director and Dean after consulting with SCiLL tenured faculty.

### B. *Tenure-track appointments, re-appointments, or promotions*

Considering the long-term commitment that tenure entails, each recommendation that confers tenure shall be based upon consideration of the candidate's demonstrated professional performance and the current and anticipated future needs and resources of the School and University.

### C. *Joint appointments*

Joint appointments can occur between the SCiLL and departments in the College or other Schools within UNC Chapel Hill, all referred to here as "academic units." Joint appointments may facilitate interdisciplinary research, teaching, training, mentoring, and practice; achieve important academic unit goals; and enable the academic unit to acquire needed expertise. Those proposed for joint appointments should be accomplished in research, teaching, and service appropriate to their own field of work and to the rank and track proposed.

Joint appointments are governed by section 2.c.7 of the Tenure Policy; when a jointly appointed faculty member is considered for tenure or promotion, both departments must approve. The percent of time that a jointly appointed faculty member may spend in the secondary unit can vary, with a maximum of 50%. Also, the percentage of salary paid by the secondary unit can vary, from no salary coverage up to 50%, and may fluctuate depending on coverage from grants and contracts.

### D. *Faculty transfers*

Faculty transfers between Schools and/or departments in the College are unusual. Such transfers may be appropriate due to changing academic needs of a faculty member or those of their primary academic unit. A transfer can occur between the SCiLL and another department in the College or another School at UNC-Chapel Hill. The faculty member wishing to transfer within the College must obtain approval from the Director and Dean of SCiLL and the Dean of the College of Arts and Sciences. For transfers to another school, the approval of the Dean of each school is also required prior to initiating the transfer because transfers place continuing obligations on the school to which the faculty member transfers. If the academic rank of the faculty member who is transferring is associate professor or professor, required documentation is the same as for appointment at the proposed rank. Department or School transfers require approval of the SCiLL faculty, the Arts and Sciences Advisory Committee (ASAC, if applicable), Health Sciences Advisory Committee (if applicable), the Appointments, Promotion, and Tenure Committee (APT), and the UNC-Chapel Hill Board of Trustees.

#### *E. 9- and 12-month appointments, re-appointments*

Appointments at the University can be for 9 or 12 months of the year. Both are considered full-time appointments. Most appointments at the SCiLL are for 9 months. The review schedule for promotion is the same for 9- and 12-month appointments.

Tenure-track faculty appointed as assistant professors are evaluated for re-appointment according to the schedule and terms set forth in section 2.c of the Tenure Policy. Fixed-term faculty may be appointed for terms of up to five years commensurate with the availability of funding and the objectives of the position.

#### *F. Track changes*

Some faculty on the fixed-term track may be judged appropriate for a tenure-track appointment. They may not move directly from the fixed-term to tenure-track, but they may apply when a tenure-track position becomes available. The candidate's application must be processed in the same manner as others submitted for the position, including arrangements for interviews with a search committee and campus visits. If the person is selected to make a track change (e.g., fixed-term track to tenure-track) as a result of an appropriate search, the Director and Dean's letter to the Provost should include a description of the search, the focus of the search, the number of applicants, and the number of candidates brought to campus to interview for the position. The initial offer letter for all candidates, including those who make a track change, should include any detailed information about "credit" toward time in rank based on previous work. The criteria and procedures detailed in the Time in Rank and Early Promotion section of this manual will apply.

#### *G. Equal opportunity*

The SCiLL is committed to following all lawful best practices for faculty recruitment, hiring, mentoring, and advancement as detailed by the guidelines of the Equal Opportunity and Compliance Office and Title VII of the Civil Rights Act of 1964.

### III. Types of Appointments

#### A. *Tenure-Track Appointments and Ranks*

##### 1. *Instructor (with special provisions)*

This rank is appropriate for persons who have not yet completed their terminal degree and for whom there is reasonable expectation that, in the normal course of events, they will progress to the rank of assistant professor.

##### 2. *Assistant Professor*

Appointment to the rank of assistant professor or promotion to rank of assistant professor from the rank of instructor (with Special Provisions) is for an initial probationary term of four years.

- a. Upon successful completion of a review prior to the end of the third year in the first term, the assistant professor is reappointed at the end of the fourth year for a second probationary term of three years.
- b. General criteria for promotion are detailed below under section IV, Standards and Criteria for Appointment and Promotions – General Criteria for All Tracks, and specific criteria for tenure-track assistant professor positions are set forth in section V, Standards and Criteria for Specific Tracks.
- c. Once a faculty member meets or exceeds the criteria for promotion, they are then eligible to be considered for promotion and/or tenure. Consideration for promotion normally begins in the sixth year, however, in special cases of unusually high qualifications, a consideration for promotion may be possible as soon as in the fourth year.
- d. Unusual, exceptional circumstances may warrant the extension of this schedule under the Tenure Policy provisions for extension of the tenure clock.
- e. Assistant professors are not eligible to be promoted directly to the rank of professor.

### 3. Associate Professor

Promotion to the rank of associate professor confers tenure. A vote of the tenured associate professors and professors in the SCiLL is required for this action. After the School vote, the recommendation to award tenure must be reviewed and approved by the Provost, who may be advised by the Dean of the College of Arts and Sciences and the University APT committee. Final approval is by the UNC-Chapel Hill Board of Trustees.

- a. Newly-recruited associate professors coming with tenure from another university should be assessed by the SCiLL tenured faculty and the Director and Dean for whether to recommend tenure at the time of offer to UNC-Chapel Hill. A vote of the tenured associate professors and professors in the SCiLL is required for this action. If there is compelling evidence that the individual meets all School and University expectations for research, teaching, and service, UNC-Chapel Hill will generally award tenure with the new appointment or as soon as possible thereafter. After the School vote, the recommendation to award tenure must be reviewed and approved by the Provost, who may be advised by the Dean of the College of Arts and Sciences, and the University APT committee. Final approval is by the UNC-Chapel Hill Board of Trustees..
- b. Newly-recruited associate professors **coming without tenure** from another university or having been assistant professors at the previous university will not be extended an offer of tenure consideration at UNC-Chapel Hill at the time of the offer unless or until they clearly and compellingly demonstrate that they have already met the promotion and tenure standards of the School and UNC-Chapel Hill, as in A.3.a.
- c. General criteria for promotion are detailed below under section IV, Standards and Criteria for Appointment and Promotions – General Criteria for All Tracks, and specific criteria for tenure-track assistant professor positions are given in section V, Standards and Criteria for Specific Tracks.

### 4. Professor

If not already tenured at UNC-Chapel Hill, an appointment to the rank of professor must follow the processes in section VI and also confers tenure.

Post-tenure review is then completed at least every five years after tenure is awarded.

#### B. Fixed-Term Appointments

The following apply to all Fixed-Term Appointments (also called Term Faculty)

- a. Term faculty are typically given a probationary appointment for one year, which can then be renewed for fixed terms of one to five years, depending upon availability of funding.
- b. Term faculty do not have, and may not acquire, tenure by virtue of initial appointment or reappointment to a fixed-term rank.
- c. Term faculty may hold part-time or full-time appointments.



- d. Fixed-term assistant professors are not eligible to be promoted directly to the rank of fixed-term professor.
- e. Promotion to fixed-term associate and fixed-term professor is appropriate for faculty who have substantial accomplishments and/or have rendered important service to the University and meet all relevant guidelines and expectations established by the School.
- f. General criteria are detailed below under section IV, Standards and Criteria for Appointment and Promotions – General Criteria for All Tracks, and section V, Standards and Criteria for Specific Tracks.
- g. Years in rank required for term faculty before eligibility for promotion should generally be consistent with tenure-track expectations. Exceptions can be made based on experience before joining the SCiLL faculty at an accredited institution, industry, government, contract research organizations, or other institutions pertinent to the appointment, and those are typically stated in the offer letter.

### **Types of Fixed-term Appointments**

The types of fixed-term appointments are detailed in the following sections.

#### *1. Teaching Appointments*

- a. This category includes teaching assistant professor, teaching associate professor, and teaching professor. Teaching faculty will be primarily engaged in teaching activities and may conduct research. Teaching faculty may also serve in administrative roles and engage in service.
- b. Faculty with teaching appointments will teach courses, direct teaching or training programs, supervise student field work, advise and mentor students, and provide other important teaching/mentoring-related activities.
- c. To be appointed to the ranks of teaching associate professor and teaching professor, faculty members must demonstrate excellence in teaching, showing that they are fulfilling important teaching, advising, mentoring, or programmatic needs of the School.
- d. Appointments or reappointments of up to one year at the rank of teaching assistant professor may be made at the discretion of the SCiLL Director and Dean. Longer appointments or reappointments at the rank of teaching assistant professor require the approval of the tenured SCiLL faculty, as well as of the Director and Dean. Any appointment or reappointment, regardless of length, at the rank of teaching associate professor or teaching professor requires the approval of the tenured SCiLL faculty, as well as of the Director and Dean.

#### *2. Research Appointments*

- a. This category includes research assistant professor, research associate professor, and research professor. Research faculty will be engaged primarily in research and scholarship activities, but may also serve in an administrative role, teach courses, direct training or teaching programs, supervise student field work, or provide other important teaching-related activities.

Research faculty may work with teams of faculty, postdocs, and students to write grants and/or to carry out research projects once they are funded, including providing research support to tenure-track faculty. Additionally, research faculty may lead their own research programs or teams as principal investigators or in similar roles.

- b. Appointments or reappointments of up to one year at the rank of research assistant professor may be made at the discretion of the SCiLL Director and Dean. Longer appointments or reappointments at the rank of research assistant professor require the approval of the tenured SCiLL faculty, as well as of the Director and Dean. Any appointment or reappointment, regardless of length, at the rank of research associate professor or research professor requires the approval of the tenured SCiLL faculty, as well as of the Director and Dean.

### *3. Professor of the Practice Appointments*

- a. Faculty with professor of the practice appointments may serve in teaching, research, and service roles appropriate to their experience and fields of interest. The professor of the practice designation is employed primarily to attract persons with distinguished careers in non-academic settings to the School for specific periods of time. Such individuals generally are successful professionals in their fields whose contributions to teaching, research, or service upon joining the University have their foundation in prior non-academic achievements.
- b. Professor of the practice designations may have an associated field identifier in the title such as Professor of the Practice of Leadership or a specific discipline, such as Professor of the Practice of Communication.
- c. Faculty in this category may be given an initial appointment of one to three years and may be reappointed for fixed terms of one to three years.
- d. Any appointment or reappointment, regardless of length, at the rank of professor of the practice requires the approval of the SCiLL tenured faculty, as well as of the Director and Dean.

### *4. Visiting Appointments*

Visiting appointments are offered to faculty who are at the School for temporary periods of up to one year, renewable for another term up to one year, with maximum allowable time of two years in a visiting capacity. In situations where further renewals are desired, appointments to one of the tenure-track ranks or non-tenure-track fixed-term ranks should be considered. Visiting appointments may be made at the discretion of the Director and Dean.

### *5. Adjunct Appointments*

This category includes adjunct instructor, adjunct assistant professor, adjunct associate professor, and adjunct professor. Guidelines and policies that apply to adjunct appointments include the following:

- a. The title “adjunct” connotes a part-time commitment of an individual to the School.
- b. The faculty is a retired employee, employed outside the University, or has a primary

- appointment in a University unit different from the School.
- c. The faculty has limited responsibilities in their adjunct appointment in the School. The individual may be involved in teaching, research, practice, or service activities.
  - d. The faculty typically does not receive regular salary from the School but may, in some instances, receive compensation for specific services or activities performed.
  - e. Adjunct faculty are not eligible for tenure, but may apply to a tenure-track job if and when one is advertised.
  - f. Appointments or reappointments of up to one year at the rank of adjunct assistant professor, adjunct associate professor, or adjunct professor may be made at the discretion of the SCiLL Director and Dean. Longer appointments or reappointments at these ranks require the approval of the tenured SCiLL faculty, as well as of the Director and Dean.

## IV. Standards and Criteria for Appointment and Promotions – General Criteria for All Tracks

This section describes the standards and criteria that are common to all appointments. The weight given each of these will vary for different tracks. The weighting of criteria and specific expectations will be communicated by the Director and Dean in the appointment letters and documented in annual meetings. To be eligible for faculty appointment in the SCiLL, individuals must have the educational training, experience, and qualifications appropriate to successfully fulfill the duties and responsibilities of their positions and the ranks for which they may be considered (e.g., PhD, ScD, MD, JD, MS).

Specific criteria for tenure and fixed-term tracks are detailed in section V. “Standards and Criteria for Specific Tracks.”

Details of proposing appointments and promotion are covered under section VI. “Procedures for Proposing and Reviewing Promotions” below.

### General

Three major types of activity are at the core of our mission and therefore constitute the major criteria by which appointments, promotion, and tenure are judged. As defined below, they are 1) teaching, 2) research, and 3) service. Some faculty will be primarily engaged in one or two of these. Thus, an individual whose primary responsibilities are in research may contribute to the educational mission of the SCiLL through mentoring and contribution to service on committees. Similarly, those whose primary responsibility is teaching may also make scholarly contributions or demonstrate service to the community or profession. How these three major areas of activity are blended in each individual’s work and across the expectations of the disciplines in the School may vary considerably. All three types of activities (e.g., teaching, research, and service) nevertheless should be reflected in the activities of all SCiLL faculty. The text below describes in greater detail the variety of forms such scholarly creation, curation, and dissemination of knowledge may take.

- a. **Teaching** – This includes dissemination of knowledge and skills to students and the public through instruction, mentoring, training, professional continuing education, and other mentoring interactions.
- b. **Research** – This includes original research in the individual’s field as well as public facing scholarship that draws on the faculty member’s academic expertise.
- c. **Service** – This includes service to the School, University, or broader professional and other communities. This also includes engagement with the public on matters related to civic life and leadership.

#### A. *General Characteristics of Demonstrated Impact*

Specific ways in which demonstrated impact may be apparent in teaching, research, and service are detailed in the corresponding sections that follow.

##### 1. *Teaching*

Teaching occurs in a variety of ways and settings, including classrooms, training programs, and various

online educational venues. It also occurs in many other settings such as in research laboratories or in field settings, practice settings, and supervision of master's theses, doctoral dissertations, capstones, honors papers, other forms of student-directed research and field training activities. Teaching also occurs as part of academic mentoring. For purposes of promotion and tenure, all of these activities are examples of teaching.

*a) Demonstrated impact*

Teaching excellence is assessed through evaluation of the extent to which content is current, relevant, of high quality, and, by the effectiveness of the delivery. Impact can also reflect the extent to which other faculty adopt the teaching/training materials or approaches.

*b) Quality of teaching*

Teaching quality will be assessed through the review of a teaching self-assessment that must include courses developed and taught, pedagogical methods employed, evidence of attention to inclusive teaching methodologies, and any relevant awards or recognition granted for teaching or mentorship. In addition, the review will consider student and peer evaluations at the time of assessment.

*2. Research*

Research includes original systematic collection, analysis, and curation of information for a) generation of knowledge, b) its refinement or application, or c) solving important social/policy problems. Included under scholarship are research studies which are carried out in laboratory, field, clinic, or library settings and which may be based on varied types and sources of information or data. At the levels of policy and government, research may include curation and organization of knowledge and knowledge-based practices to guide improved programs and practices for the well-being of the public. Research also can include public-facing scholarship that draws on the faculty member's academic expertise.

SCiLL recognizes and values interdisciplinary scholarship consistent with the [Appointment, Promotion & Tenure Guidelines in the Faculty Handbook](#) and the Tenure Regulations. It is often through interdisciplinary and transdisciplinary work that creative solutions and new knowledge emerge for many complex societal problems. For these reasons, faculty are encouraged to pursue such scholarship either individually or as part of an interdisciplinary team.

*3. Service*

SCiLL's service mission is broad, and SCiLL is thus committed to recognizing a wide variety of service contributions made by its faculty. Service routinely includes serving on SCiLL, College, or University committees, as well as performing other tasks that further SCiLL's mission and goals. In some cases, service commitments may involve responsibility for particular aspects of SCiLL's administration, such as those typically associated in the College with the roles of Director of Undergraduate Studies, Director of Graduate Studies, and/or Associate Chair. In other cases, service commitments may involve general responsibility for administering, or assisting in the administration of a SCiLL initiative or curricular program. In addition, in light of the central importance of public discourse, civic life, and leadership to SCiLL's mission, activities that engage students, faculty, staff, community members, and the broader

public on these topics will be recognized as important service contributions to SCiLL. Such engagements may include, but are not limited to, public lectures, debates, workshops, town hall meetings, continuing education classes, or other forms of public engagement with issues that are relevant to civic life and leadership.

## V. Standards and Criteria for Appointment and Promotions – for Specific Tracks

### A. *Tenure-track Ranks*

Criteria for promotion include contributions in research, teaching, and service to the School, University, professional community, and society at large, as described in section IV and at the levels described below for each rank.

#### **Increase in Impact with Rank**

The impact of a faculty member's scholarly and other work is expected to increase as rank increases. Expectations for each tenure-track rank are as follows.

##### 1. *Instructor (with special provisions)*

The candidate approved by the School to be recommended for an appointment as an assistant professor but who, when approved, is still completing a doctoral dissertation or other terminal degree, will be recommended for an appointment as instructor for one year with the special provision that upon conferral of the doctorate, the candidate will be reappointed at the rank of assistant professor, and with the further provision that the effective date of their appointment at the rank of assistant professor will be retroactive to the effective date of their current appointment as instructor, or to the July 1 or January 1 immediately preceding the date of conferral. Such an appointment will carry the title "instructor with special provisions."

##### 2. *Assistant Professor*

###### a) *Standards for initial appointment*

Clear promise of excellence in teaching and scholarship, and completion of all requirements for the doctorate or other terminal degree and the degree's conferral are required prior to initial appointment as assistant professor.

###### b) *Reappointment for a second probationary term*

The initial review and recommendation for reappointment occurs by the end of the third year of the initial probationary appointment. For an assistant professor already serving in the School, reappointment is based on evidence of (a) a demonstrated commitment to, and promise of or achievement of, research excellence, (b) a demonstrated commitment to, and promise of or achievement of, teaching excellence, and (c) appropriate professional practice/service to the School.

##### 3. *Associate Professor (with or without tenure)*

Initial appointment to a rank of associate professor may be with or without tenure. Promotion to associate professor always confers tenure. Except as otherwise provided under University policy, tenure is a permanent commitment by the School and the University.

Recommendation for tenure requires a judgment not only about the past and present achievements of

the candidate but also about their potential for future achievements. While emphasizing proven excellence in research and teaching, the School stipulates that, in questions of tenure, a person must show promise of continuing achievement in all three areas: research, teaching, and service as detailed in the general criteria of section IV. A recommendation for promotion and/or tenure by the Director and Dean requires a careful assessment informed by outside references about the qualifications of the candidate and the professional judgment of the assembled tenured associate and professors of SCiLL.

In evaluating past performance, present achievements, and promise for the future, the following factors will be considered:

- a. The candidate must have demonstrated achievement of research excellence through the development of an ongoing research program and through scholarly contribution(s) of demonstrable value to their field and to civic life and leadership. The candidate must also have demonstrated commitment to continued research excellence.
- b. The candidate must have demonstrated commitment to teaching excellence.
- c. The candidate's service to SCiLL, University, community, state, nation, and world and to their academic profession is a further, additional consideration in the overall assessment. The candidate must be recognized as a helpful and valued colleague. Service, however, is not a substitute for excellence in research and excellence in teaching.

Appointment or promotion to associate professor should be considered only for those who have demonstrated outstanding ability and accomplishment in self-directed and independent scholarship. Assistant professors who are proposed for promotion to associate professor with tenure or those newly recommended for appointment as associate professor should demonstrate excellence and impact in research, teaching, and service.

#### *4. Professor*

Appointment or promotion to the highest rank should be reserved only for those who have demonstrated sustained achievement and made significant contributions to their field, and to civic life and leadership, beyond those expected of an associate professor with tenure. Candidates must have obtained national or international recognition of their work and demonstrated sustained, high-quality accomplishment in teaching and sustained excellence in scholarship. In addition, candidates should have demonstrated sustained contributions in service and engaged activities. Those being proposed for promotion to professor should have demonstrated how their work has contributed to the advancement of their field and to civic life and leadership.

Recommendation for promotion to the rank of professor requires a judgment not only about the past and present achievements of the candidate but about their potential for future achievements. A recommendation for promotion to professor by the Director and Dean requires a careful assessment informed by outside references about the qualifications of the candidate and the professional judgment of the tenured professors in SCiLL.

In evaluating past performance, present achievements, and promise for the future, the following factors will be considered:

- a. The candidate must have a record of sustained academic research, high-quality



- publications, and distinctive achievements to have gained significant recognition in their field nationally, and if appropriate, internationally.
- b. The candidate must have demonstrated commitment to, and achievement of, teaching excellence.
  - c. The candidate must have a record of service that demonstrates the capacity for constructive contributions to the School and the University; a similar demonstration of capacity for such contributions to the community, state, nation, and world is also valued. Service is not a substitute for excellence in research and excellence in teaching.

## *B. Fixed-Term Ranks –Research and Teaching Appointments*

The sections that follow provide a general description of criteria for promotion in fixed-term ranks.

Fixed-term faculty will be designated as appointed in one of the following categories: research, teaching, or professor of the practice. Many appointed in one of research or teaching will be engaged in activities also from the other two, such as a faculty member appointed in the category of teaching but who also is active in research and practice of the profession.

Nevertheless, as per terms of their individual appointment and consistent with SCiLL guidelines, an individual may be promoted based on activity within one or two of these.

### *1. Research appointments*

Criteria for appointment to research associate professor or research professor are usually different than for tenure-track faculty. To be appointed to the higher ranks, a research-track faculty member must demonstrate a consistent record of having provided important research services to the School. Such services include, but are not limited to, assisting in writing grant proposals that are funded, assisting faculty in carrying out funded research projects, assisting faculty in producing scholarly research products such as journal articles, book chapters, software, digital media, or presentations at professional meetings, and similar products.

In some cases, research faculty members direct independent research programs; are principal investigators for research projects; involve (and support) graduate students in their projects; and produce scholarly products of their research. In such cases, criteria for quality of research sufficient to merit appointment to the higher ranks are those detailed in the Section on “Standards and Criteria for Appointments and Promotions – General Criteria for All Tracks.” The quantity and quality of work should be deemed appropriate for the appointment being sought.

Faculty with research appointments generally also contribute to the teaching needs of the School; when research-track faculty make teaching contributions, those contributions will be considered for promotion purposes. Examples of teaching practice include mentoring students, classroom teaching, and individual tutoring. High-quality teaching as outlined earlier, must be demonstrated through student evaluations, peer-review of teaching, and a teaching portfolio.

Note that peer evaluation is not required for new research appointments but is required for promotion.

### *2. Teaching appointments*

The major criteria by which appointments and promotion are judged is the dissemination of knowledge and skills to students, professionals, and the public through excellence in teaching. For faculty to be appointed to the rank of, or reappointed at the higher rank of, teaching associate professor or teaching professor, it must be demonstrated that the candidate is fulfilling important teaching needs of the School. Sometimes faculty with a primarily teaching appointment will conduct research as well; when they do so, their research contributions will be considered for promotion purposes.

High-quality teaching must be demonstrated through student evaluations of courses, peer-review of teaching, and a teaching portfolio. Faculty may also be appointed and promoted on the teaching track based in part on excellent administrative contributions within the School, or by developing curriculum, or exercising significant leadership that produces high quality scholarship in the field.

Publishing on teaching is another way to contribute to SCiLL teaching mission. In such cases, evidence of successful program development and/or enhancement may substitute for or complement other evaluation indicators for the teaching track. The Director and Dean's letter in support of promotion should clearly elucidate the scope of and evidence of accomplishment. For those faculty on teaching appointments engaged in practice, actual or potential impact of activities to enhance civic life and leadership are also considered.

### *C. Fixed-term Professor of the Practice*

Marks of distinction include their seniority in organizations in which they have served, their reputation as articulated by peers, recognition of their work, impact of their professional contributions, and their demonstrated ability to bridge academic and practice communities to assist faculty and students to translate their work more effectively into practice. Evaluation of professors of the practice is based on their contributions to the teaching, research, and service to the School. The precise mix of teaching, research, and service to be pursued by a professor of the practice must be defined at the time of initial appointment and will likely differ from individual to individual. In part, evaluations may be based on evidence of continued engagement and achievement in their professions including, as well as outside of, their University responsibilities.

## VI. Procedures for Proposing and Reviewing Appointments and Promotions

### A. Overview

Appointments and promotions begin with the School's faculty committee on tenure and promotion. Following a search, recruitment, or sufficient time in rank and accomplishment, the Director and Dean has the responsibility to work with the faculty member to assemble the necessary documents to support the requested action and send them forward to SCiLL's committee on tenure and promotion.

For tenure-track appointments, the SCiLL promotion and tenure committee will make a recommendation to the tenured faculty who will then vote on the action as appropriate by rank.

Faculty vote on appointments and promotions that are at or below their own rank. The fixed-term faculty do not vote on tenure decisions or promotion of tenured faculty. However, tenured faculty – associate professors with tenure and professors – do vote on fixed-term appointments and promotions. Visiting professors, adjunct professors, and professors of the practice do not vote on appointments and may not be present for dossier discussions. All votes on faculty appointments or promotions, regardless of rank, must include at least four faculty members at the rank of professor. The faculty vote is advisory to the Director and Dean.

If approved by the Director and Dean, recommendations for appointment, promotion, and/or tenure are then forwarded to the university APT for their review. The Provost makes the final decision to submit appointments or promotions to the UNC-Chapel Hill Board of Trustees. All tenure-track appointments and actions conferring tenure require the approval of the Board of Trustees.

For fixed-term appointments, the SCiLL committee on promotion and tenure's recommendations for appointments or promotion are forwarded to the faculty for a vote and finally to the Director and Dean for final approval. If approved, fixed-term appointments are then forwarded to Human Resources and become effective on the date requested. The SCiLL encourages the use of a secure electronic medium with restricted access for the distribution of dossiers to all potential faculty voters.

### **Equal Opportunity**

All appointments and promotions must comply with equal opportunity rules and regulations. It is the policy of the SCiLL to enforce vigorously the University's equal opportunity procedures in both letter and spirit. Details of these procedures are published in the Equal Opportunity Action Plan.

### **Dossier Discussions**

When possible, it is recommended that face-to-face discussions on each dossier occur at the School level. Faculty members who have a significant conflict of interest (see below) must be excused from discussion and voting on a candidate for promotion and tenure. This "excused from voting" does not become reported as an abstention.

## Quorum and Conflict of Interest

A quorum shall consist of the majority of the eligible voting SCiLL faculty members for any given candidate participating at an in-person meeting. A conflict of interest exists when a SCiLL faculty member is related to a candidate who is being reviewed (e.g., spouse, partner, child, other relation). That individual should declare the relationship and not participate in voting. The individual should recuse themselves so that their vote does not become reported as an abstention. A potential conflict of interest may also exist when an SCiLL faculty member has a close personal (e.g., family member) or professional relationship with a candidate (e.g., mentor, co-author, grant collaborator). In both of these cases, the SCiLL faculty member should disclose the relationship that exists with the candidate, so all SCiLL faculty members are notified.

When necessary to meet University review/approval and at the request of the Director and Dean, an expedited Appointment, Promotion, and Tenure Committee review can take place.

### *B. Documentation for appointment, promotion and/or tenure*

1. *UNC's AP2 form must be used.*
2. *Letter from the Director and Dean must include the following:*
  - a. **Recommended appointment date:** If the proposed effective date for promotion is earlier than suggested by University guidelines, a detailed justification must be given. If a faculty member is being promoted ahead of schedule because of time counted for service elsewhere, this should be explained. This is not early promotion as defined by the University, but it must be clearly shown that time-in-rank was at a high-quality institution and that the individual was doing work of an equivalent nature.
  - b. **For tenured/tenure-track actions:** The Director and Dean's letter will indicate the vote of the assembled professors (and associate professors, when applicable), including the number in favor, against, and abstained, and any reason why there was a no vote, recusal, or abstention. Reason(s) for abstentions and negative votes must be addressed in the letter. The letter should also include the primary area in which the candidate's accomplishments fall (e.g., research, service, teaching) and how the applicant meets the relevant guidelines of the School in the areas described.
  - c. **For new appointments:** A description of the search by which the candidate for appointment was identified, including the focus of the search, the number of candidates applying, and the number of candidates brought to campus to interview for the position.
  - d. Evidence supporting designated area of excellence (e.g., teaching portfolio, research/scholarship career performance and plan, strategy and emphasis of candidate).
  - e. Actual (or potential) impact of the faculty member's work on civic life and leadership.
  - f. As applicable, summarize the quality of the candidate's past teaching and mentoring (may be very limited for new assistant professor appointments and for those for whom teaching is not a substantial responsibility).

- g. Summary of individual's professional service and faculty engagement activities.
- h. Any other appropriate information about the candidate not already documented.

In addition to these details, the Director and Dean must address issues which may cause questions or concerns on the part of those who subsequently will review the proposed appointment or promotion. These may include, as examples, accomplishments that may appear to fall short of specific School guidelines, questions about possible conflict of interest for those writing external letters of support, and actual concerns raised by external letter writers. It is the **responsibility of the Director and Dean** to ensure consistency in various parts of the letter, for example, numbers of publications, and to address any issue that may create a flag for reviewers.

### *3. Research Statement*

Each faculty member being recommended for promotion at the rank of associate professor or professor must include in their promotion package a research statement that indicates how they have had, and are likely to have, an impact on their field. As appropriate to the accomplishments, track, and rank of the individual, this should include numbers of publications, participation on national or international panels, invited and other national presentations, and engaged scholarship. This listing is not exhaustive. The statement should also describe the faculty member's future plans for research, service, or teaching, and professional service and faculty engagement, as applicable.

### *4. Teaching Portfolio*

Teaching quality will be assessed through the review of a teaching self-assessment that must include courses developed and taught, pedagogical methods employed, evidence of attention to inclusive teaching methods, and any relevant awards or recognition granted for teaching or mentorship. In addition, the review will consider student and peer evaluations.

### *5. Peer Review of Teaching*

All tenure-track faculty members and fixed-term faculty members must have a peer review of teaching. Along with the teaching portfolio, two peer evaluations of teaching completed within 12 months prior to the submission of materials for reappointment or promotion must be included in the documentation. Teaching evaluations should use the template provided in the CAS Chair's Manual. Peer evaluations should address the content, scholarly quality, and the skill of the candidate in leading classes. Generally, this will be based on a discussion with the candidate, including review of the course syllabus, and a direct observation of the candidate interacting with students in class, even if done as part of online teaching. Peer review should be evaluated by an individual who is at the rank of professor (either fixed-term or tenure-track) or an already tenured associate professor in the School or another unit in the University.

### *6. Letters from Independent external reviewers*

#### **General requirements for letters from external reviewers:**

- a. The purpose of external letters is to provide an independent and unbiased assessment of the individual's national and international reputation or other qualifications for the proposed appointment. Therefore, the request to prospective writers of outside letters of evaluation should be phrased neutrally and should not solicit an affirmative response or

recommendation. A copy of the letter that was used to solicit an evaluation of the candidate must be included in the dossier.

- b. Letters should be from individuals:
  - 1. Who are not affiliated with UNC-CH.
  - 2. Who are not related to the candidate.
  - 3. Who were not faculty at the institution in which the candidate received their doctorate or other terminal degree at the time the candidate was a student.
  - 4. Who are independent of the candidate and not considered as having a conflict of interest. Independence and being not conflicted are interpreted as not collaborating on research grants, papers, or other projects. Given the importance however of collaboration and service on professional or national committees, and the like, judgment is required in interpretation of this criterion. The candidate and the letter writer both serving on a committee, being co-authors on a report or paper with a very large number of authors (such as a national policy statement or the report of a multi-site project) or being co-investigators in a multi-site project in which their work does not intersect may not necessarily disqualify the letter writer. At least one “extra” letter may be requested in case there is a potential unanticipated conflict of interest.
- c. Letter writers should be independent of each other. For example, they will generally not be from the same research laboratory, project, or group (except in the case of large, multi-site, multi-investigator projects). Generally, they should be from different universities although in unusual cases they may be from distinct schools or departments of the same university, but it is not preferable. As with other features of the portfolio, it is important to make the case for the independence of letter writers if there is basis for doubt in this regard.
- d. All solicited letters received by the SCiLL faculty, not a selected subset, must be included in the candidate’s package.

*a) Tenured Appointments*

For tenured appointments at the rank of Associate Professor or Professor, promotion to tenure at the rank of Associate Professor, or promotion to Professor, a minimum of four outside/external letters of evaluation are required and should be labelled accordingly in the packet:

- a. Two from a list of names provided by the candidate labelled “Candidate Selection”, and
- b. Two from a list of names selected by the faculty labelled “School’s Selection.”
- c. All letters should come from individuals who are recognized as leaders in the field of the candidate’s major work or focus. Traditionally, and ideally, letters should come from qualified individuals at other accredited peer academic institutions who have achieved the rank of professor. Given the interdisciplinary nature of SCiLL it may be appropriate for the Director and Dean to consult with faculty in other units to determine appropriate letter writers. The Director and Dean’s letter proposing an appointment or promotion should clearly document the qualifications of external reviewers to comment knowledgeably on the qualifications of the candidate and address any questions that may emerge regarding reviewers’ qualifications. Again, external letter writers must be able to speak to the qualifications of the candidate using the criteria established for

promotion as described in the SCiLL criteria.

*b) Tenure-track Appointments -- Initial*

For all initial tenure-track appointments, a minimum of four external letters of evaluation are required. Typically, all four are from outside UNC-CH and are solicited from individuals at accredited peer institutions who can speak to research, service, and teaching of the proposed candidate.

- *Initial Tenure-track Appointments – Assistant Professor*

More latitude is given in choice of external reviewers for new appointments at the assistant professor level. Since these faculty members are early in their careers, letters from collaborators and advisors are acceptable on initial appointments to assistant professor only. The SCiLL may use letters of recommendation submitted as part of the individual's application as long as they fully address accomplishment and potential related to scholarship, teaching, and practice, not merely serving as character references.

- *Initial Tenure-track Appointments – Associate Professor*

Occasionally cases occur in which individuals have been appointed to the rank of associate professor on the tenure-track without tenure awarded. In such cases, when being considered for tenure after the initial appointment, the research statement, and teaching portfolio should all be updated to reflect accomplishments following the initial appointment. To put the strongest case forward for a tenure decision, letters that speak to the most recent teaching, research, and professional practice/service productivity are desirable.

*c) Initial Tenured Appointments – Associate Professor and Professor*

To put the strongest case forward, external letters that speak to the most recent teaching, research, and service productivity are most desirable. Letters of recommendation for appointment of tenured Associate Professors and Professors should not come from the individuals who reviewed the candidate for their Associate Professor promotion.

*d) External Letters for Fixed-term Appointments and Promotions to Assistant Professor*

For appointments or promotion to fixed-term assistant professor, a minimum of two outside letters of evaluation are required:

- a. One from a list of names provided by the candidate.
- b. One from a list of names selected by the Director and Dean, as appropriate.  
All letters should come from individuals who are recognized as leaders in the field of the candidate's major work or focus. Traditionally, and ideally, letters should come from qualified individuals who are professors. The Director and Dean's letter proposing an appointment or promotion should clearly document the qualifications of external reviewers to comment knowledgeably on the qualifications of the candidate and address any questions that may emerge regarding reviewers' qualifications. Again, external letter writers must be able to speak to the qualifications of the candidate using the criteria established for promotion as described in the SCiLL criteria.

*e) Initial Fixed Term Appointments – Assistant Professor*

More latitude is given in choice of external reviewers for new appointments at the assistant professor level. Since these faculty members are early in their careers, letters from collaborators and advisors are acceptable on initial appointments to Assistant Professor only. Letters of recommendation submitted as part of the individual's application may be used as long as they fully address accomplishment and potential related to scholarship, teaching, and practice in data science, not merely serving as character references.

*f) External Letters for Fixed-term Appointments and Promotions to Associate Professor*

For appointments or promotion to fixed-term associate professor, a minimum of two outside letters of evaluation are required:

- a. One from a list of names provided by the candidate
- b. One from a list of names selected by the Director and Dean, as appropriate.

All letters should come from individuals who are recognized as leaders in the field of the candidate's major work or focus. Traditionally, and ideally, letters should come from qualified individuals who are at the rank of Professor. The Director and Dean's letter proposing an appointment or promotion should clearly document the qualifications of external reviewers to comment knowledgeably on the qualifications of the candidate and address any questions that may emerge regarding reviewers' qualifications. Again, external letter writers must be able to speak to the qualifications of the candidate using the criteria established for promotion as described in the School criteria.

*i) Fixed-term Appointments for Promotion to Professor*

For appointments or promotion to fixed-term professor, a minimum of two outside letters of evaluation are required:

- a. One from a list of names provided by the candidate and
- b. One from a list of names selected by the Director and Dean.
- c. All letters should come from individuals who are recognized as leaders in the field of the candidate's major work or focus. Traditionally, and ideally, letters should come from qualified individuals at other accredited peer academic institutions who are professors. The Director and Dean's letter proposing an appointment or promotion should clearly document the qualifications of external reviewers to comment knowledgeably on the qualifications of the candidate and address any questions that may emerge regarding reviewers' qualifications. Again, external letter writers must be able to speak to the qualifications of the candidate using the criteria established for promotion as described in the SCiLL criteria.

*j) Letters in Support of Joint Appointments*

Original external letters used for the primary appointment will generally be accepted as sufficient letters from external reviewers in the SCiLL faculty's review of joint/secondary appointments. This will be the case whether the primary appointment is within the School or within another school or department at UNC-Chapel Hill. See details of review of Joint Appointments, below.



7. *Reappointments to assistant professor for a second probationary term on the tenure track*

- a) *Reappointments to assistant professor for a second probationary term of three years are reviewed by the School's promotion and tenure committee before being forwarded to the Provost for approval.*
- b) *No external letters are required for reappointments.*
- c) *The following are required for requests for reappointment to assistant professor for a second probationary term of three years.*
  - a. AP2 form
  - b. Letter of Recommendation from the Director and Dean detailing progress toward tenure along with the department vote reported by rank.
  - c. Full curriculum vitae (in preferred order) (See Supplemental File 3)
  - d. Teaching activities: List courses for the previous three years, number of students taught by section. Give names of graduate students supervised, thesis titles, and completion dates for degree work since employment at UNC-Chapel Hill. Undergraduate honors projects should be included as well.
  - e. Teaching Statement
  - f. Research Statement
  - g. Student Course Teaching evaluations
  - h. Peer Teaching Evaluations (2)
- d) *Reappointment is not guaranteed.*

Faculty proposed for reappointment should have documented solid accomplishments in scholarship, teaching, mentoring, and service and be making good progress toward meeting School criteria for promotion to associate professor with tenure.

**Reappointments for additional term(s) on the fixed-term track:** Reappointments to the assistant, associate, and professor rank for individuals on the fixed-term track are approved by the School's promotion and tenure committee. These actions are not reviewed by ASAC. No external letters are required for reappointments. Reappointment is not guaranteed. Those proposed for reappointment should have documented solid accomplishments in their area(s) of focus. Based on SCiLL guidelines, the Director and Dean's letter should summarize why the individual should be reappointed, how salary is covered, and the impact of the candidate's scholarly work.

8. *Administrative appointments*

Administrative appointments are made by the Director and Dean in consultation with the Dean of the College of Arts and Sciences. These are At-Will appointments, typically made for a term of up to 4 years.

### *9. Joint appointments*

Faculty may be proposed for joint appointments whose areas of work and accomplishments are quite different from those of most faculty with primary appointments in the SCiLL. This may limit the pertinence of specific standards and criteria generally used in the School in evaluating proposed appointments. Nevertheless, proposals for joint appointments should document accomplishment in scholarship, teaching, and service appropriate to the candidate's field of work and to the rank and track proposed.

Documentation required for joint appointments and promotion in the primary school or department, including letters from external reviewers, will generally be accepted for review by the tenure and promotion committee of the SCiLL without requirement for additional documentation. In some cases, review of the joint appointment may take place at some time after review by the primary school or department. If in the judgment of the School tenure and promotion committee, such a delay between primary and joint appointment review compromises evaluation of the merits of the appointment, the School's tenure and promotion committee may request updated documentation. All letters supporting a joint appointment letter should also clearly indicate the primary school/Department, who is responsible for the faculty member's salary and the percentage of time spent in each school. The letter from the secondary school need not provide all the detail of teaching, scholarly, and professional practice/service accomplishments customary in letters of support for promotions and tenure. It should, however, describe in detail the accomplishments and qualifications and responsibilities of the candidate from the perspective of the value they will bring to the secondary school and the SCiLL along with the proposed role in and expectations for the candidate in the secondary school. For fixed term appointments, the School tenure and promotion committee votes on the dossier with the addition of the letter from the chair/dean of the secondary department/school, and, if approving of the appointment, recommends the Director and Dean sign a final joint appointment letter that is included in the dossier. For joint appointments conferring tenure, or on the tenure track, the process is the same as for full appointments in SCiLL, though if SCiLL is not the primary school the Dean may communicate the vote of the faculty to the primary unit and sign a joint letter.

### *10. Processing steps*

Guidelines on the College's Human Resources website provide information for use in setting due dates and compiling documents for appointments, promotions, reappointments, joint appointments and other miscellaneous actions requiring multiple level reviews. The initial process will begin with the candidate's home appointing school and ultimately will proceed through the School's tenure and promotion committee.

### *11. Appeals*

The procedure through which a faculty member may appeal a decision not to reappoint that individual is specified in Section 4, "Non-reappointment of Tenure-track Faculty Members" within the Trustee Policies and Regulations Governing Academic Tenure in the UNC at Chapel Hill, [Appointment, Promotion & Tenure Guidelines in the Faculty Handbook](#).

### *12. Reporting of School-Level Tenure Denials to the University*

All tenure denials at the School level should be included in the end of year report to the Provost. All

tenure denials at the school level will be documented by Human Resources and tallied by the School for an annual report to the Provost. In addition, the School will annually submit the names of faculty members who: (1) switched from the tenure-track to the fixed-term track, (2) left the institution during the probationary term, (3) were not re-appointed, or (4) were denied a second probationary term as Assistant Professor.

## VII. Post-Tenure Review

### A. *Statement of Purpose:*

The purpose of post-tenure review at UNC-Chapel Hill and the SCiLL is to contribute to achieving the School and University missions of educational excellence. The review process for all tenured faculty members should assist them in their ongoing professional development, including efforts to enhance their skills as teachers, their accomplishments as scholars, and their contributions to the profession and the public, including efforts contributing to the mission of the School and the University. Should performance deficiencies be found, the process should constructively and specifically address these issues to aid the faculty member in re-establishing performance that meets or exceeds expectations. (See: <https://facultyaffairs.unc.edu/policies-and-procedures/faculty-reviews/post-tenure-review-policy/>)

### B. *General Policy:*

The SCiLL policy and processes conform to the Tenure Policy. [\*Appointment, Promotion & Tenure Guidelines in the Faculty Handbook\*](#)

Accordingly, each tenured faculty member must be reviewed at least once every five years following conferral of tenure. More frequent review may occur at the discretion of the Director and Dean. Review must examine all aspects of faculty activities and performance.

Criteria for evaluation will be determined by the Director and Dean in consultation with the tenured SCiLL faculty, but must conform to those documented in this manual. The review process must involve faculty peers and be conducted by at least three persons who constitute the Post-Tenure Review (PTR) Committee. Comprehensive evaluations conducted for other purposes, such as promotion or reappointment, may be substituted for or combined with post-tenure review. Under very unusual cases, a review may be delayed for compelling reasons approved by the Dean and Provost.

Senior leaders, such as the Director and Dean and associate/assistant deans, are reviewed every five years. This review constitutes post-tenure review for those positions.

### C. *Expectations of Faculty Members:*

All faculty members are expected throughout their careers to maintain standards of excellence and integrity in teaching, research, and service as stated in the criteria for tenure and promotion detailed above.

Those who have advanced to the rank of professor may contribute to the SCiLL and University's missions of educational excellence in varied roles, such as serving as a Dean, associate dean or a leader in engaged scholarship. Such contributions are a noteworthy reflection of academic impact. Accordingly, time and energy spent in these commitments should be considered in assessments of faculty success. Expectations will be developed by the Director and Dean in consultation with the SCiLL faculty.

but should reflect that the standards for post-tenure review of senior faculty are not simply duplicative of those for promotion to full professor.

*D. Post-tenure Review Procedure:*

*1. Cycle of review, notice and participation*

- a. All faculty members who are to undergo review will be advised of such reviews at least six (6) months in advance.
- b. All faculty members who are to undergo review in a given year will take active roles in the post-tenure review process by assisting with planning, preparing relevant background information, engaging in constructive dialogues with colleagues and the Director and Dean, and participating in creation of a development plan, if needed, to address deficiencies in performance.

*2. Composition of Post-Tenure Review committees*

- a. The Director and Dean shall convene either an ad-hoc committee each year or a standing committee, called the "Post-Tenure Review (PTR) Committee." The PTR committee must include at least three tenured faculty members to oversee post-tenure reviews. These members should not have any conflict of interest with the faculty under review, which includes the appointed mentoring committee.
- b. The Director and Dean and HR will manage the associate/assistant dean reviews.

*3. Information considered during PTR review process*

- a. The PTR Committee review process will be conducted in a way that provides members of the PTR Committee relevant information concerning the faculty member's accomplishments and plans in teaching, research, service in relation to the missions of the School and University, at least over the last five years.
- b. Faculty members must provide the PTR Committee:
  - i. Curriculum vitae
  - ii. Current funding support for research and scholarly activity
  - iii. Five-year career statement/plan
  - iv. Teaching statement (maximum of 3 pages) and student course evaluations from previous three years

*4. Consultation between faculty members being reviewed, PTR Committees and the Director and Dean*

- a. As appropriate, faculty members being reviewed may meet with the PTR Committee and the Director and Dean to discuss teaching, research, service and other accomplishments.
- b. The PTR Committee will do the following:
  - i. Use all information provided by the faculty member being reviewed in evaluating performance, as outlined in the three preceding sections: 1. Cycle of review; 2. Composition of PTR committee; 3. Information considered.
  - ii. Provide a written summary to the faculty member with assessment of overall

performance and specific performance in pertinent categories of scholarship, teaching and mentoring, practice, service and engagement, and clearly specify if the faculty member meets, exceeds, or does not meet expectations. This summary should also include any recommendations for improvement and describe any substantial deficiencies in performance that should be addressed and articulated in a development plan.

- c. Faculty members being reviewed must be permitted to provide written responses to Committee reports.
- d. The Director and Dean will review the PTR Committee's report, the faculty member's response, if any, and applicable materials and provide her/his written review which is submitted to the Dean.

#### *5. Recognition of outstanding performance*

- a. When faculty members being reviewed are considered outstanding (e.g., "exceeding expectations") in overall performance, the Director and Dean may use this as an opportunity to recognize them for example by recommending that the individual is nominated for awards, distinguished professorships, etc.

#### *6. Disposition of reports*

- a. These PTR Committee materials (and a development plan when necessary) will be reviewed by the Director and Dean. If a development plan is required, the Director and Dean will document what it is, work with the faculty member to design the development plan, implement it, and establish accountability benchmarks.
- b. All final PTR Committee reports, as well as quarterly and annual updates on development plans, are filed with Human Resources and the Provost's office.
- c. The Director and Dean then gives final approval on the annual PTR Committee report sent to the Provost.

#### *7. Establishment and monitoring of development plan*

- a. For faculty members whose overall performance does not meet expectations, the report of the PTR Committee shall include a statement of the faculty member's primary responsibilities and specific descriptions of where performance does not meet expectations on teaching, research or service as they relate to the faculty member's assigned duties. In consultation with the faculty member, the Director and Dean develops specific, measurable objectives for improvement.
- b. Faculty development plans are individualized to address areas where expectations are not met, considering the faculty member's intellectual interests, abilities and career stage, and school needs.
- c. The faculty development plan should describe changes, if any, to be made in the faculty member's teaching, research, or service responsibilities. The development plan should include: 1) measurable objectives/milestones and specify steps designed to achieve those objectives; 2) indicators of whether (or not) objectives have been attained; 3) a clear time frame for the completion of the objectives; 4) resources available to assist the faculty member in achieving the objectives; and 5) clarification of consequences of failure to meet

- stated objectives. Faculty members with a development plan should report on progress toward meeting stated objectives to the Director and Dean on a quarterly basis, and annual progress reports on the plan are shared with the HR Team Lead and the Dean.
- d. Sometimes it is helpful to have peer support to achieve objectives in the development plan. The Director and Dean and the faculty member should discuss the benefit of peer mentoring/support.
  - e. Progress meetings between the faculty member with a development plan and the Director and Dean must occur quarterly during the specified timeframe. A quarterly report that summarizes faculty progress made (or not made) on the development plan will be provided for the duration of the plan. The quarterly report is to be submitted to Human Resources within two weeks after the quarterly meeting with the faculty member and is to be reviewed by the Director and Dean. A report that summarizes the progress over a year (e.g., all quarterly reports) is to be filed annually in the Provost's office that documents faculty who have a development plan.
  - f. If and when the faculty member has met the objectives specified in the development plan, the Director and Dean shall acknowledge in writing a faculty member's successful completion of objectives in the development plan and forward that document to the Dean. This information will be updated in the annual report sent to the Provost's office.
  - g. In the event that insufficient progress on objectives or other substantial deficiencies in performance continue at the end of one year, the Director and Dean will notify the faculty member in writing, detailing the nature of continued deficiency. It is expected that communications between the Director and Dean and faculty member will be ongoing, and that the Dean has been informed (having reviewed quarterly reports) if there is a lack of progress. Generally, discussions about a lack of progress also involve consultation with other appropriate campus offices, including the Provost's Office and the Office of University Counsel.
  - h. In the event that a faculty member fails to successfully complete a development plan and performance continues to be deficient despite regular communication that includes the faculty member, the Director and Dean and the Dean, in collaboration with the Provost or their representative, will consider whether there are grounds for demotion, dismissal, or other disciplinary action under the Tenure Policy. Dismissal or severe sanctions may be imposed only in accordance with and on the grounds stated in the Tenure Policy.
  - i. Faculty members may grieve matters related to post-tenure review to the Faculty Grievance Committee under Section 607 of the Code of the University of North Carolina during their term of employment.

## 8. *Recordkeeping*

- a. PTR Committee reports are established and filed with Human Resources after approval by the Director and Dean.
- b. The Director and Dean will maintain a list of faculty members reviewed each year, a record of completed reviews, and any faculty responses to reviews. The names of the faculty members for whom development plans are recommended, a copy of the development plans, and all related quarterly reports will remain on file in Human Resources, as well.

## 9. *Procedure for requesting a delay of the Post-Tenure Review*

- a. Requests to delay an upcoming post-tenure review should be submitted to the Director and Dean at least 6 months in advance to ensure timely processing of the request.
- b. Requests must be submitted using the Review Deferral Request Form and specify the compelling reason(s) for the request to delay the review.
- c. Requests must include a written justification from the Director and Dean and be approved by the Provost.
- d. Requests forms should be submitted to the Office of Faculty Affairs for review and approval. Once the request is reviewed, a notification will be sent from the Office of Faculty Affairs to the faculty member, the Director and Dean, and the Dean of the College of Arts and Sciences indicating whether the request has been approved.
- e. If the request is approved, the Director and Dean must then complete an electronic action in the existing system, with the approval form attached, to finalize the change to the Post Tenure Review date.

#### *E. Reports and Appeals to the Dean*

##### *1. Annual reports*

- a. Human Resources at the SCiLL will provide a yearly report to the Director and Dean and that lists all faculty members reviewed during the prior academic year, including outcomes for each individual.

##### *2. Appeals for findings of substantial deficiencies/not meeting expectations and development plans*

- a. Faculty members found by PTR Committees to not meet expectations and for whom development plans are established may appeal the findings of substantial deficiency or the terms of the development plan within 30 days of receiving the final letter, including such findings.
- b. Such appeals are to be made to the Dean, who may consult with University Counsel and the Provost's Office.

#### *F. Records and Confidentiality*

##### *1. Maintenance of written records*

- a. The Director and Dean will maintain each post-tenure review committee's review summary, and the response, if any, by the faculty member as part of that faculty member's confidential personnel file, along with all background information, other materials used in connection with the review, a development plan, if required, and all quarterly progress reports associated with the development plan. A copy of the



development plan should also be on file in Human Resources.

2. *Obligation of confidentiality*

- a. All matters relating to post-tenure reviews are confidential.
- b. All those who participate as members of PTR Committees or who otherwise advise on individual cases should be advised of their obligations to abide by this requirement of confidentiality.