

# The University of North Carolina at Pembroke

UNIVERSITY of NORTH CAROLINA  
PEMBROKE

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## **FACULTY HANDBOOK 2017-2018**

## PREFACE

This *Faculty Handbook* has been prepared for the faculty of The University of North Carolina at Pembroke and has been designed to provide faculty members with a ready reference to established policies and procedures at The University of North Carolina at Pembroke. The Office of the Provost is the custodian of the *Faculty Handbook*. It is the administrative responsibility of the Office of the Provost to maintain the currency of the *Faculty Handbook* with the full awareness and collaboration of the Executive Committee of the Faculty Senate.

Changes to policies and procedures in the *Faculty Handbook* require the approval of the Chancellor. Proposed changes originating from the Faculty Senate and approved by the Chancellor are provided to the Office of the Provost for inclusion in the *Faculty Handbook* by means of Faculty Senate Routing Forms signed by the Chancellor. The updating of other information contained in the *Faculty Handbook*, including that originating from offices outside the Division of Academic Affairs, is the responsibility of the Office of the Provost in conjunction with those offices. Minor editorial changes to correct errors, update web links, etc. are made by the Office of the Provost with notification made to the Executive Committee of the Faculty Senate.

It is hoped that each faculty member will become familiar with the contents of this *Faculty Handbook* immediately. The UNC Board of Governors policies supersede the *Faculty Handbook* in cases of possible conflict. *The Code of the Board of Governors of The University of North Carolina* is available at <http://www.northcarolina.edu/policy/index.php>

The University reserves the right to make any necessary changes in the University Calendar or in any other section of this *Faculty Handbook*.

## EQUAL OPPORTUNITY

The University of North Carolina at Pembroke is committed to equality of educational opportunity and does not discriminate against applicants, students, or employees based on color, national origin, religion, sex, sexual orientation, age, disability, or veteran status. Moreover, The University of North Carolina at Pembroke is open to people of all races and actively seeks to promote racial integration by recruiting and enrolling a larger number of American Indian, Asian, Black and Hispanic students.

**THE UNIVERSITY OF NORTH CAROLINA AT PEMBROKE**

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**UNCP FACULTY HANDBOOK  
SECTION I**

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**HISTORY, MISSION, ADMINISTRATION,  
AND GOVERNANCE OF UNCP**

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**SECTION I  
CHAPTER 1  
MISSION AND HISTORY OF  
THE UNIVERSITY OF NORTH CAROLINA AT PEMBROKE**

**Mission Statement**

Founded in 1887 as a school for the education of American Indians, The University of North Carolina at Pembroke now serves a distinctly diverse student body and encourages inclusion and appreciation for the values of all people. UNC Pembroke exists to promote excellence in teaching and learning, at the master's and undergraduate levels, in an environment of free inquiry, interdisciplinary collaboration, and rigorous intellectual standards.

Our diversity and our commitment to personalized teaching uniquely prepare our students for rewarding careers, postgraduate education, leadership roles, and fulfilling lives. We cultivate an international perspective, rooted in our service to and appreciation of our multi-ethnic regional society, which prepares citizens for engagement in global society. Students are encouraged to participate in activities that develop their intellectual curiosity and mold them into responsible stewards of the world.

UNCP faculty and staff are dedicated to active student learning, engaging scholarship, high academic standards, creative activity, and public service. We celebrate our heritage as we enhance the intellectual, cultural, economic, and social life of the region.

**Vision Statement**

The University of North Carolina at Pembroke will challenge students to embrace difference and adapt to change, think critically, communicate effectively, and become responsible citizens. Working from a strong foundation in the liberal arts, we will increase opportunities to infuse our curriculum with interdisciplinary innovation while promoting undergraduate and graduate research as well as international opportunities.

**Core Values Statement**

The faculty and staff of UNC Pembroke are guided by the following set of Core Values: commitment to serving the local region; creation, exploration, evaluation, and articulation of ideas; the value of a liberal arts foundation as the basis of self-realization and lifelong learning; the importance of honor and integrity to learning and leadership as we educate students to be stewards of the world; appreciation of the American Indian history of the University and local community; appreciation of diversity and respect for the dignity and worth of every individual; commitment to prepare graduate and undergraduate students to succeed in an ever-changing and increasingly technological global environment; accessibility of education which leads to the enhancement of the economy and culture of the region; and maintenance of a sustainable, safe, healthful, attractive, and accessible campus.

**Institutional Distinctiveness Statement**

The University of North Carolina at Pembroke distinguishes itself from peer institutions by offering an affordable, highly personalized, student-centered education to diverse students. Founded in 1887 as an American Indian institution to serve the Lumbee people, UNCP is now also comprised of students, faculty, and staff who possess differing attributes based on race, ethnicity, gender, sexual orientation, disability status, national origin, age, political affiliation, religion, and other characteristics. Diversity grounds intellectual pursuits and provides us with opportunities for discovery and ways to integrate all individuals and groups into the larger community, respecting and valuing their uniqueness while simultaneously advancing the University's historical tradition. UNC Pembroke prepares its students for life and leadership within a diverse society.

## **History of The University of North Carolina**

In North Carolina, all the public educational institutions that grant baccalaureate degrees are part of the University of North Carolina. The multi-campus state university encompasses 16 such institutions as well as the NC School of Science and Mathematics, the nation's first public residential high school for gifted students. Chartered by the N.C. General Assembly in 1789, The University of North Carolina was the first public university in the United States to open its doors and the only one to graduate students in the eighteenth century. The first class was admitted in Chapel Hill in 1795. For the next 136 years, the only campus of the University of North Carolina was at Chapel Hill.

Additional institutions of higher education, diverse in origin and purpose began to win sponsorship from the General Assembly beginning as early as 1877. Five were historically black institutions, and another was founded to educate American Indians. Some began as high schools. Several were created to prepare teachers for the public schools. Others had a technological emphasis. One is a training school for performing artists.

The 1931 session of the General Assembly redefined the University of North Carolina to include three state-supported institutions: the campus at Chapel Hill (now the University of North Carolina at Chapel Hill), North Carolina State College (now North Carolina State University at Raleigh), and Woman's College (now the University of North Carolina at Greensboro). The new multi-campus University operated with one board of trustees and one president. By 1969, three additional campuses had joined the University through legislative action: the University of North Carolina at Charlotte, the University of North Carolina at Asheville, and the University of North Carolina at Wilmington.

In 1971, legislation was passed bringing the state's ten remaining public senior institutions into the University of North Carolina. Each had been legally separate until then: Appalachian State University, East Carolina University, Elizabeth City State University, Fayetteville State University, North Carolina Agricultural and Technical State University, North Carolina Central University, the North Carolina School of the Arts, Pembroke State University (now The University of North Carolina at Pembroke), Western Carolina University, and Winston-Salem State University. In 1985, the North Carolina School of Science and Mathematics was declared an affiliated school of the University. In July 2007, NCSSM became a constituent institution of the University of North Carolina by legislative action. All the schools and universities welcome students of both sexes and all races.

The UNC Board of Governors is the policy-making body legally charged with "the general determination, control, supervision, management, and governance of all affairs of the constituent institutions." It elects the president, who administers the University. The 32 voting members of the Board of Governors are elected by the General Assembly for four-year terms. Former board chairmen and board members who are former governors of North Carolina may continue to serve for limited periods as non-voting members *emeriti*. The president of the UNC Association of Student Governments or the student's designee is also a non-voting member.

Each of the UNC campuses is headed by a Chancellor who is chosen by the Board of Governors on the president's nomination and is responsible to the president. Each university has a board of trustees, consisting of eight members elected by the Board of Governors, four appointed by the governor, and the president of the student body, who serves *ex officio*. (The UNC School of the Arts has two additional *ex officio* members, and the NC School of Science and Mathematics has a 27-member board as required by law.) Each board of trustees holds extensive powers over academic and other operations of its institution on delegation from the Board of Governors.

### **History of The University of North Carolina at Pembroke**

On March 7, 1887 the General Assembly of North Carolina enacted legislation sponsored by Representative Hamilton McMillan of Robeson County creating the Croatan Normal School. The law, which was in response to a petition from the Indian people of the area, established a Board of Trustees and appropriated five hundred dollars to be used only for salaries. A building was constructed by the local people at a site about one mile west of the present location, and the school opened with fifteen students and one teacher in the fall of 1887. For many years the instruction was at the elementary and secondary level, and the first diploma was awarded in 1905.

The school was moved to its present location in Pembroke, the center of the Indian community, in 1909. The General Assembly changed the name of the institution in 1911 to the Indian Normal School of Robeson County, and again in 1913 to the Cherokee Indian Normal School of Robeson County. In 1926 the Board of Trustees added a two-year normal program beyond high school, and phased out elementary instruction. The first ten diplomas were awarded in 1928, when the state accredited the school as a "standard normal school."

Additional college classes were offered beginning in 1931, and in 1939 a fourth year was added with the first degrees conferred in 1940. In recognition of its new status, the General Assembly changed the name of the school in 1941 to Pembroke State College for Indians. Until 1953, it was the only state-supported four-year college for Indians in the nation. The scope of the institution was widened in 1942 when non-teaching baccalaureate degrees were added, and in 1945 when enrollment, previously limited to the Indians of Robeson County, was opened to people from all federally-recognized Indian groups. A few years later, in 1949, the General Assembly shortened the name to Pembroke State College.

The Board of Trustees approved the admission of White students up to forty percent of the total enrollment in 1953, and following the Supreme Court's school desegregation decision, opened the College to all qualified applicants without regard to race in 1954. Growth of over five hundred percent followed during the next eight years. In 1969, the General Assembly changed the name again to Pembroke State University and made the institution a regional university. Such universities were authorized "to provide undergraduate and graduate instruction in liberal arts, fine arts, and science, and in the learned professions, including teaching" and to "provide other graduate and undergraduate programs of instruction as are deemed necessary to meet the needs of their constituencies and of the State."

Three years later, in 1972, the General Assembly established the sixteen-campus University of North Carolina with Pembroke State University as one of the constituent institutions. The new structure was under the control of a Board of Governors, which was to coordinate the system of higher education, improve its quality, and encourage economical use of the state's resources. Pembroke State University celebrated its centennial in 1987. On July 1, 1996, Pembroke State University officially became the University of North Carolina at Pembroke. Today, UNC Pembroke is a baccalaureate and master's degree granting institution, offering forty-one undergraduate programs and seventeen graduate programs.

**Accreditation and Membership of The University of North Carolina at Pembroke**

The University of North Carolina at Pembroke is accredited by the Southern Association of Colleges and Schools Commission on Colleges to award Bachelor's and Master's level degrees. Contact the Commission on Colleges at 1866 Southern Lane, Decatur, Georgia 30033-4097 or call 404-679-4500 for questions about the accreditation of The University of North Carolina at Pembroke.

In addition, The University of North Carolina at Pembroke is accredited by or is a member of:

- The American Association of Colleges for Teacher Education
- The American Association of State Colleges and Universities
- The American Chemical Society
- The American Council on Education
- The Commission on Accreditation of Athletic Training Education
- The Commission on Collegiate Nursing Education
- Council of Social Work Education
- The National Council for Accreditation of Teacher Education
- The National Association of Schools of Music
- National Association of Schools of Public Affairs and Administration
- The New Media Consortium
- The North Carolina Association of Colleges and Universities

**SECTION I**  
**CHAPTER 2**  
**ADMINISTRATION OF THE UNIVERSITY**

**General Organization of The University of North Carolina**

North Carolina General Statute 116-1, enacted by the North Carolina General Assembly in 1971, established The University of North Carolina as a public, multi-campus university dedicated to the service of North Carolina and its people. It encompasses sixteen diverse constituent institutions and other educational, research, and public service organizations. Today, UNC is a multi-campus university composed of all sixteen of North Carolina's public institutions of higher education, as well as the North Carolina School of Science and Mathematics, the nation's first public residential high school for gifted students. A list of the constituent institutions of The University of North Carolina can be located at <http://www.northcarolina.edu/content/our-17-campuses>

**Board of Governors of The University of North Carolina**

The Board of Governors of The University of North Carolina is the single, state-level governing authority under which the state-supported institutions of higher education are organized for administration. The Board of Governors is responsible for the general determination, control, supervision, management, and governance of all affairs of the constituent institutions (*The Code of the Board of Governors*, Section 203.) For this purpose, the Board may adopt such policies and regulations as it may deem wise.

The Board of Governors determines the functions, educational activities, and academic programs of the constituent institutions. The Board also determines the type of degrees to be awarded by each constituent institution. The Board has the authority to withdraw approval of any existing program if it appears that the program is unproductive, excessively costly, or unnecessarily duplicative. The Board prepares and revises a long-range plan for the UNC system. It maintains close liaison with the State Board of Education, the State Board of Community Colleges, and the private colleges and universities of the state.

The Board of Governors gives advice and recommendations concerning higher education to the Governor, the General Assembly, the Advisory Budget Commission, and the Boards of Trustees of the constituent institutions. The Board of Governors may delegate any part of its authority over the affairs of any constituent institution to the Board of Trustees or, through the President of the University, to the Chancellor of the institution. The North Carolina General Assembly elects the thirty-two voting members of the Board of Governors who serve for four-year terms. More information about the UNC Board of Governors is available at <http://www.northcarolina.edu/bog/index.htm>

**General Administration of The University of North Carolina**

The Board of Governors elects the President of the University of North Carolina. The President is the Chief Administrative Officer of the University. The President establishes administrative organizations to carry out the policies of the University and interprets these organizations to the Board of Governors and to the officers and faculties of the University [*The Code of the Board of Governors*, Section 501C (7).] The President is assisted by such professional staff members as may be deemed necessary to carry out the duties of the office. These staff members include a senior vice-president and other vice-presidents. In addition, the President is assisted by persons on the staff who are familiar with the problems and capabilities of all of the principal types of institutions represented in the system.

UNC General Administration houses the offices of the President and other senior administrative officers. This core administrative staff is responsible for executing the policies of the UNC Board of Governors and providing University-wide leadership in such areas as academic affairs, public service

programs, business and financial affairs, institutional studies and long-range planning, student affairs, research, legal affairs, health affairs, and institutional development. UNC General Administration also has administrative oversight of a number of University affiliates, including UNC-TV, the North Carolina Arboretum, the NC State Education Assistance Authority, the NC State Approving Agency, the UNC Press, and the NC Center for International Understanding. More information about UNC General Administration is available at <http://www.northcarolina.edu/Leadership-and-Policy/System-Offices>.

### **The President of the University of North Carolina**

The President of the University of North Carolina is the chief administrative and executive officer of the University. The President has complete authority to manage the affairs and execute the policies of the University of North Carolina and its constituent institutions, subject to the direction and control of the Board of Governors and the provisions of *The Code of Board of Governors*. The President personally represents the ideals and the spirit of the University of North Carolina to the state, the region, and the nation. As the Chief Executive, the President is the official administrative spokesperson for and the interpreter of the University to the alumni and alumnae, the news media, the educational world, and the general public. The President is responsible for the presentation and interpretation of all University policies, recommendations, and requests to the General Assembly, the Governor, state officers and commissions, and the federal government. The President is a member of, and has the privilege of attending meetings of, all faculties of the constituent institutions of the University of North Carolina (*The Code of the Board of Governors*, Section 510A.)

### **Organization of The University of North Carolina at Pembroke**

#### **Board of Trustees**

*The Code of the Board of Governors of The University of North Carolina* establishes that each constituent institution of The University of North Carolina will have a Board of Trustees to promote the sound development of the institution. The Board of Trustees of the University of North Carolina at Pembroke serves as advisor to the Board of Governors on matters pertaining to its institution and to the Chancellor concerning the management and development of the institution (*The Code of the Board of Governors*, Section 403A.)

The Board of Trustees is responsible for ensuring the institution's compliance with the educational, research, and public service roles assigned to it by the Board of Governors. The Board of Trustees participates in the selection of the Chancellor; approves the candidates for honorary degrees; advises the Chancellor with respect to the development and administration of the budget; recommends the amounts of the fees to be charged for application, athletics, health services, student activities, and technology; and determines the type, level, and extent of student services (such as health care, athletic programs, and counseling) to be maintained for the benefit of students (*The Code of the Board of Governors*, Appendix 1.) Information about the Board of Trustees is available at <http://www.northcarolina.edu/Leadership-and-Policy/Campus-Boards-Trustees>. The current membership of the UNC Pembroke Board of Trustees is listed on the website for the office of the Chancellor at <http://www.uncp.edu/about-uncp/administration/departments/chancellor/university-governance/board-trustees>.

#### **The Chancellor**

The Chancellor is the chief administrative and executive officer of the University. The Chancellor exercises complete executive authority within the University, subject to the direction of the President. The Chancellor is responsible for carrying out the policies of the Board of Governors and the Board of Trustees. The Chancellor provides the Board of Governors with an annual report on the operation of the institution.

The Chancellor is responsible for the administration of the institution, including the enforcement of the decisions, actions, policies, and regulations of the Board of Governors. The Chancellor makes recommendations for the development of educational programs for the University and for the appointment of personnel within the University. The Chancellor exercises full authority in the regulation of student affairs and student conduct and discipline.

The Chancellor is the leader and the official spokesperson for the University. The Chancellor promotes the educational excellence and general development and welfare of the University; defines the scope of authority of faculties, councils, committees, and officers of the University; and authorizes and approves all projects, programs, and institutional reports to be undertaken on behalf of the institution.

The Chancellor is a member of all faculties and other academic bodies of the University and has the right to preside over the deliberations of any legislative body of the faculties of the University. The Chancellor is responsible for ensuring that the University has a faculty council or senate, a majority of whose members are elected by and from the members of the faculty. The general faculty, which includes at least all full-time faculty and appropriate administrators, may function as the council or senate. The Chancellor may attend and preside over all meetings of the council or senate. The council or senate may advise the Chancellor on any matters pertaining to the University that are of interest and concern to the faculty.

The Chancellor ensures the establishment of appropriate procedures at the University to provide members of the faculty with the means to give advice on academic policy and institutional governance, with particular emphasis on matters of curriculum, degree requirements, instructional standards, and grading criteria. The procedures for giving advice may be through the council or senate, standing or special committees, or other consultative means (*The Code of the Board of Governors*, Section 502.)

**SECTION I  
CHAPTER 3  
FACULTY GOVERNANCE**

**Overview of Faculty Governance Responsibilities**

Governance within the University of North Carolina and on each of the seventeen constituent campuses is defined by the provisions of *The Code of the Board of governors of the University of North Carolina*. The Chancellor on each campus must insure that a faculty senate, or other similar body, has been established. Members of that body are to be elected from the faculty by the faculty. The senate may advise the Chancellor on any matters pertaining to the institution that are of interest and concern to the faculty. The Chancellor is to ensure the establishment of appropriate procedures within the institution to provide members of the faculty with the means to give advice with respect to questions of academic policy and institutional governance, especially matters of curriculum, degree requirements, instructional standards, and grading (*The Code* Section 502.)

Consequently, in order to maintain and protect this right of governance, it is a responsibility of each faculty member to participate actively in faculty governance at UNCP. The Faculty Senate and its committees are the means by which the faculty can voice its concerns, examine problems that arise, and recommend improvements in policies and procedures.

**Faculty Senate Structure and General Organization**

The Faculty Senate is the primary UNCP faculty governance body. The Senate operates through a series of standing and operations committees as well as a number of subcommittees reporting to the standing committees. The Senate receives reports and recommendations from the standing and operations committees, deliberates appropriate actions, and recommends those as approved to the Chancellor. The Senate, under *The Code of the Board of Governors of the University of North Carolina*, has an advisory role to the Chancellor, who is the executive officer for the University. Details of the Senate organization, responsibilities, and procedures are described in the Constitution of the Faculty and the By-laws of the Faculty Senate.

**UNCP Faculty Constitution**

**Preamble**

We, the members of the Faculty of The University of North Carolina at Pembroke, desiring to:

- Provide a democratic form of government for the coordination of faculty activities;
- Provide a forum for the expression of faculty views and interests;
- Maintain academic freedom, academic responsibility, and faculty rights;
- Improve intellectual, cultural, social, and physical welfare;
- Develop better educational standards, facilities, and teaching methods;
- Foster the recognition of the rights and responsibilities of the faculty to the school, the community and humanity; do hereby establish this Constitution.

**ARTICLE I. GENERAL FACULTY**

Section 1. The General Faculty of The University of North Carolina at Pembroke shall consist of the Chancellor, all full-time instructional personnel, those faculty participating in phased retirement and all full-time non-instructional personnel who hold academic rank.

**Section 2. Powers**

The General Faculty shall have power (or authority):

- A. To receive reports from--and make recommendations to--the Faculty Senate.
- B. To discuss--and pass resolutions on--matters relating to the life of the University.

- C. To take action on the awarding of honorary degrees.
- D. To review and revoke action of the Faculty Senate.
- E. To review and modify the structure of Faculty Government.
- F. To elect Senators-at-Large, members of the Faculty Hearing Committee, members of the Faculty Grievance Committee, and Delegates/Alternates to the UNC Faculty Assembly.

### Section 3. Meetings

The General Faculty shall meet three times during the academic year, the exact dates of the meeting to be determined by the Chancellor and the Chair of the Faculty Senate. The first meeting will coincide with the fall opening of the University. The second meeting will be held in late fall. The third meeting will be held in the spring.

- A. Special Meetings of the General Faculty may be called by the Chancellor; the Faculty Senate; or, within thirty days after receiving a petition stating specifically the purpose of the meeting and signed by fifty members of the General Faculty, the Chancellor shall be empowered to call a meeting of the General Faculty.
- B. The Agenda for the regular meetings of the General Faculty shall be determined by the Chancellor and the Executive Committee of the Faculty Senate. The Agenda shall contain a report on the business conducted by the Senate since the last meeting of the General Faculty.
- C. The Chair of the Faculty Senate shall notify members of the General Faculty at least one week in advance of the date of each regular meeting of the General Faculty. If practicable, the agenda and any materials to be voted on shall be distributed to the members of the General Faculty one week in advance of each meeting.
- D. A quorum for Meetings of the General Faculty shall consist of a majority of the voting membership as defined above (see Article I, Section 1). A majority vote of members present is sufficient to conduct business, except that when the question of revoking an action of the Faculty Senate is under consideration by the General Faculty, a two-thirds vote of a quorum shall be required to annul.
- E. Voting in General Faculty Meetings shall normally be by voice vote. Vote by ballot shall be taken on motion approved by a majority of members present and voting. Results of voting shall be recorded in the minutes.
- F. Meetings of the General Faculty and its deliberative bodies shall follow Robert's Rules of Order (Newly Revised). In particular, proxy voting is not permitted.

Section 4. The minutes and records of the General Faculty shall be kept by the Secretary of the Faculty Senate.

- A. Copies of the minutes of General Faculty Meetings shall be sent to each member.
- B. Minutes of the General Faculty Meeting shall be placed on file in the Office of the Chancellor, of the Provost and Vice Chancellor for Academic Affairs, in the UNCP Archives, and on the website of the Faculty Senate.

## ARTICLE II. FACULTY SENATE

Section 1. The General Faculty delegates the responsibility for the conducting of business to a Faculty Senate.

Section 2. The purpose of the Faculty Senate of The University of North Carolina at Pembroke shall be to serve as the principal academic policy-making body of the University, subject to review and approval by the Chancellor; to serve as an advisory and consultative council to the Chancellor and other Administrators; and to receive from Senate Committees or University Departments recommendations concerning educational policies of The University of North Carolina at Pembroke upon which the Senate may deliberate and act.

Section 3. The Senate shall recognize the province within the University of the traditional academic disciplines and the established departments and divisions in setting and implementing rules and regulations directly affecting these areas, but reserves the right to review such rules and regulations as may affect the University as a whole.

Section 4. Actions of the Senate completed

- A. Actions of the Senate shall be in one of three forms:
  - 1. Act. An Act shall have the effect of policy.
  - 2. Resolution. A Resolution shall express the sentiment of the Senate.
  - 3. Recommendation. A Recommendation shall express the advice of the Senate, giving advice only.
- B. No Acts of the Senate shall have the effect of policy unless they have been passed by a majority vote and bear the signature of the Chancellor of the University, indicating his approval.
- C. Upon passage of an action as defined above, the Chair of the Senate shall submit the completed Faculty Senate Routing Form to the Chancellor within three school days of its passage.
- D. The Chancellor may veto an Act. In such case the Senate shall be notified of such action at its next meeting.

### ARTICLE III. MEMBERSHIP AND ELECTIONS

Section 1. The Senate shall consist of the following members:

- A. The Chancellor of the University
- B. The Provost and Vice Chancellor for Academic Affairs
- C. Three General Faculty members from each of the five divisions listed below, elected by and from the General Faculty of the division:
  - 1. Division of Arts
  - 2. Division of Education
  - 3. Division of Letters
  - 4. Division of Natural Science and Mathematics
  - 5. Division of Social and Behavioral Sciences
- D. Nine General Faculty members elected at-large by the General Faculty.

Section 2. Those eligible to vote for representatives in a division shall be General Faculty who currently hold academic rank at The University of North Carolina at Pembroke in a discipline associated with the division; those eligible to vote for Senators-at-Large shall be General Faculty members.

Section 3. Eligibility for election to Senate membership is restricted to members of the General Faculty

- A. not holding an administrative position above that of Department Chair, and
- B. having a minimum of two consecutive years as members of the General Faculty at The University of North Carolina at Pembroke prior to candidacy and having not broken the current period of employment at UNCP except by virtue of approved leaves of absence.

Section 4. Senators elected by the division shall serve for a term of three years. The Committee on Committees and Elections of the Faculty Senate shall conduct annual elections for division representatives.

Section 5. Senators representing divisions shall normally be elected during the month of October by those holding current academic rank in the division they will represent, to take office at the adjournment of the first General Faculty meeting of the academic year. Faculty members with joint appointments shall be eligible to run and to vote in only one division in the election of Senators representing divisions.

Section 6. Elections for Senators-at-Large shall be conducted immediately following election of division representative, for a term of three years. The election of Senators-at-Large shall be conducted by the Committee on Committees and Elections of the Senate.

Section 7. No elected Senator may serve more than two successive terms; the filling of an unexpired term shall be deemed as one of the two successive terms.

Section 8. The position of an elected Senator whose term is unexpired shall be considered vacant upon:

- A. Notification by the Senator to the Chair of (1) his/her resignation, or (2) a leave-of-absence;
- B. The Senator's becoming ineligible through change in professorial status, either at this University or elsewhere;
- C. The Senator's absence from more than two regular meetings of the Senate in an academic year.

Such vacancy shall be filled by special ballot in accordance with Article V, Section 2, A, 3 of the By-Laws for the Faculty Senate. Senators so elected shall serve the unexpired portion of the term.

Section 9. Senators shall take office at the adjournment of the first General Faculty meeting of the academic year.

#### ARTICLE IV. DUTIES OF SENATORS

Section 1. Senators shall bring to the Senate proposals originating from (or endorsed by) Department Chairs, from academic supportive services, and from other areas of academic concern of the faculty. Proposals shall be in writing and furnished in sufficient copies to facilitate review and action of the Senate.

Section 2. Each elected Senator (except the Chair and Secretary) shall serve on one of the Standing Committees or on the Committee on Committees and Elections.

#### ARTICLE V. OFFICERS

Section 1. The Chancellor of the University shall have the right to preside over the deliberations of any legislative bodies of the Faculties of The University of North Carolina at Pembroke.

Section 2. The Senate shall elect from its voting membership a Chair of the General Faculty who shall also serve as Chair of the Faculty Senate, to serve for one year. The Chair shall serve as Chair of the Executive Committee, and shall preside at meetings of the Faculty Senate and of the General Faculty subject to the right of the Chancellor to preside over such deliberations as provided in Article V, Section 1, above. The Chair shall not serve for more than two successive years; the filling of an unexpired term shall be deemed as one of the two successive years. The Chair of the Faculty Senate is entitled to a course load reduction (six hours per semester) while serving as Chair.

Section 3. The Senate shall elect from its voting membership a Secretary to serve for a period of one year. The Secretary shall serve as the Secretary of the General Faculty.

#### ARTICLE VI. COMMITTEES

Section 1. The consideration of matters within its jurisdiction may be delegated by the Senate to Committees, which shall be responsible to and report to the Senate.

Section 2. The Senate shall have the following types of committees: Operations Committees, Standing Committees, Subcommittees of the Standing Committees, and Continuing and Special Committees. The terms of the Standing Committees, and Continuing Committees, shall end with the convening of a new Senate at the first regular meeting of the academic year; the Committee on Faculty Governance will be appointed for three-year staggered terms and other Operations Committees' terms shall be the same as the Standing and continuing Committees; members of Subcommittees of Standing Committees will be appointed for two-year staggered terms; and the term of any Special Committee will be ended upon completion of its designated assignment.

Section 3. There shall be three Operations Committees:

A. The Committee on Committees and Elections shall consist of four Senators appointed by the Senate Chair. The Chair of the Committee shall be appointed by the Senate Chair. The Committee shall conduct elections for Divisional and At-Large Senators, members of the Promotion and Tenure Committee, the Faculty Awards Committee, the Faculty Grievance Committee, the Faculty Hearing Committee, and Delegates and Alternates to the UNC Faculty Assembly. All elections administered by the Committee on Committees and Elections will be conducted by anonymous balloting. The Committee shall nominate all members of Faculty Senate Subcommittees, the Faculty Governance Committee, the three non-Senate faculty members on the Student Affairs and Campus Life Committee, and one member of the Student Publications Board. The Committee shall select four nominees for the position of Faculty Conciliator for Undergraduate Grade Appeals.

B. The Executive Committee shall consist of the Chair of the Senate, who shall serve as its Chair; the Secretary of the Senate; the Chairs of the three major Standing Committees as provided for in Article VI, Section 4 of this Constitution; and the Chair of the Committee on Committees and Elections. This committee shall prepare an Agenda and publish the Agenda to the Senate five days prior to each regular meeting. The Agenda for regular meetings of the General Faculty shall be determined by the Senate Executive Committee consisting of the Chancellor and the Executive Committee of the Faculty Senate. The General Faculty shall be notified of all regular meeting dates of the Senate. The committee shall also assist in the annual publication of the Faculty Handbook. The Senate Executive Committee shall have general supervision of the affairs of the Senate between its regular meetings. This includes the implementation of Senate-approved policies and procedures. None of these implementing actions shall conflict with actions taken by the Senate.

C. The Committee on Faculty Governance shall consist of not more than nine members, a majority of whom must be Senators or former Senators. They are to be nominated by the Committee on Committees and Elections and confirmed by the Senate.

Section 4. The Senate members of the three major Standing Committees and their Chairs shall be appointed by the Chair of the Senate. Standing Committees will consist of members of the Senate, Chairs of the Subcommittees reporting to them, and various administrators whose University roles make them appropriate members. The Standing Committees shall be:

- A. Academic Affairs
- B. Student Affairs and Campus Life

### C. Faculty and Institutional Affairs

Section 5. Standing Committees may, with the approval of the Senate, set up Subcommittees; the tenure of the Subcommittee shall be coincident with that of the parent Standing Committee.

Section 6. Persons eligible to serve on Subcommittees are members of the General Faculty and staff members appropriate to the function of the subcommittee. When one or more of the three Standing Committees request Subcommittee formation, the Committee on Committees and Elections shall determine the size of the Subcommittee and make nominations to the Senate, to be confirmed by the Senate.

Section 7. All Subcommittees shall report directly to the parent Standing Committee, of which each subcommittee's Chair will be a voting member.

Section 8. The Chair of each Standing Committee shall speak for the Committee. He/she may present an oral or written report, but in every case the presentation must give sufficient information on which the Senate can act.

Section 9. Continuing and Special Committees may be constituted, with appropriate membership, at any time by the Senate.

Section 10. The Faculty Research Advisory Board shall be a Continuing Committee of the Faculty Senate. It shall consist of not more than seven members to serve three-year staggered terms. The members will be nominated by the Chair of the Faculty Senate and confirmed by the Senate. The Board shall elect a Chair from its membership.

#### ARTICLE VII. MEETINGS

Section 1. The Senate shall regularly meet at least once each month during the academic year. Regular meeting dates shall be established by the Senate; however, these dates may be altered when deemed necessary.

Section 2. A Special Meeting may be called by the Chancellor, the Chair of the Faculty, or at the request of a majority of the voting members of the Senate.

Section 3. Written notices of Regular Meetings of the Senate shall be sent to each Senator five business days prior to the meeting and shall contain an agenda. Special Meetings, when practicable, shall require a three-day notice. Special Meetings may be arranged by telephone or email. The General Faculty will be notified.

Section 4. All Meetings of the Senate shall be open meetings unless, consistent with the requirements of State Law, a meeting is closed to the public by majority vote of a quorum of the Senate membership.

Section 5. Fifteen elected members of the Senate present at any meeting shall constitute a quorum.

Section 6. Minutes of all meetings shall be posted on the faculty Senate website within ten days after approval.

#### ARTICLE VIII. RIGHT OF FACULTY APPEAL

Section 1. Any action or resolution of the Senate may be appealed to the Senate by a petition containing not fewer than fifteen faculty signatures. In the event of failure of the Senate to produce agreement with the petitioners, fifty members of the faculty signing a petition may call for a General Faculty Meeting. A

two-thirds vote of a quorum of the faculty in a General Faculty Meeting shall be required to revoke Senate action.

Section 2. Written notice of a full Faculty Meeting for deliberation of Senate action appealed by petition shall be distributed to the faculty one week prior to the meeting. Such notice shall include a statement of the action to be discussed.

#### ARTICLE IX. REVIEW OF THE CONSTITUTION, BY-LAWS, PROCEDURES

Section 1. The Senate shall have the authority to make by-laws and rules of order for the conduct of its business.

#### ARTICLE X. AMENDMENT OF THE CONSTITUTION

Section 1. A recommendation to amend the Faculty Constitution may be made in one of two ways: at a regular meeting of the Senate preceding that at which the vote on such recommendation is taken, or at a meeting of the General Faculty at least thirty days preceding that at which the vote on such recommendation is taken.

Section 2. A two-thirds vote of a quorum of the Senate present and voting shall be necessary in order to recommend the amendment of the Constitution or any of its provisions.

Section 3. Ratification of the recommendation of the Senate or General Faculty for the amendment of the Constitution or any of its provisions shall require a two-thirds vote of the faculty.

Section 4. The Board of Trustees of The University of North Carolina at Pembroke and the Board of Governors of The University of North Carolina shall be properly informed by the Chancellor of changes in faculty organization and operating procedures.

#### **By-Laws for the Faculty Senate**

##### ARTICLE I. MEETINGS

Section 1. The Faculty Senate shall meet regularly on the first Wednesday of each month of the academic year consistent with the University academic calendar.

Section 2. Special meetings and alterations of the prescribed schedule shall require a three-day notice when practicable.

Section 3. Meetings shall not exceed 90 minutes without a vote to extend the time.

Section 4. Absences from Meetings. Faculty members who desire to run for a Senate seat are obligated to check professional responsibilities against the Senate's meeting schedule for potential conflicts. When a Senator cannot be present at a regular meeting and requests to be excused, such request must be addressed to the Chair of the Senate in writing.

Section 5. The minutes and all official documents of the Senate and its committees and subcommittees will be filed by the Secretary of the Senate. The Secretary will post the completed Faculty Senate Routing Form and attachments, official agendas, and minutes on the Faculty Senate web site. It will be the responsibility of each committee and subcommittee Chair to see that agendas and minutes are delivered to the Secretary in advance of meeting dates.

##### ARTICLE II. RULES OF ORDER

Section 1. The Senate shall determine the rules of order for the conduct of its business meetings.

Section 2. Robert's Rules of Order (Newly Revised) shall be followed, except that proxy voting shall be not be permitted.

### ARTICLE III. ORDER OF BUSINESS

Section 1. The order of business at meetings of the Senate shall be as follows:

- A. Roll Call
- B. Approval of Minutes
- C. Adoption of Agenda
- D. Reports from Administrators
  - 1. The Chancellor
  - 2. The Provost and Vice Chancellor for Academic Affairs
- E. Reports of Committees
  - 1. Operations Committees
  - 2. Standing Committees
  - 3. Special Committees
- F. UNC Faculty Assembly Report
- G. Teacher Education Committee
- H. Graduate Council
- I. Other Committees
- J. Unfinished Business
- K. New Business
- L. Announcements

Section 2. All business brought before the Senate must have appeared on an approved Agenda before action on it can be completed.

### ARTICLE IV. PROPOSALS TO BE ACTED UPON BY THE SENATE

Section 1. Proposals to the Senate may come from any Faculty member, and any administrator eligible for membership in the Senate.

Section 2. Proposals germane to the curriculum of a department must be approved and forwarded to the Department Chair.

Section 3. Endorsement does not imply consent or concurrence but an awareness of a proposal.

Section 4. Proposals originating through individual Senators, from committees or Special Committees, or from any other source shall be routinely referred to the Executive Committee for inclusion on the next agenda.

### ARTICLE V. DUTIES OF THE SENATE CHAIR AND FUNCTION AND SCOPE OF OPERATIONS COMMITTEES

Section 1. The Duties of the Faculty Senate Chair shall include:

- 1. Attend the Board of Trustee Meetings when invited.
- 2. Communicate or meet with the Chancellor and Provost monthly regarding Senate activities.
- 3. Chair the Executive Committee of the Senate, which meets at least one week prior to each Senate meeting to set the Senate agenda.
- 4. Email the Senate and the General Faculty with Senate meeting announcements and agendas.

5. Arrange and moderate three General Faculty meetings per year (start and end of the fall semester, and end of the spring semester) and at each of these meetings give a report of recent Senate activities.
6. Reserve rooms for Senate meetings, General Faculty meetings, Executive Committee meetings, and Campus Appeal Board meetings.
7. Attend at least one Faculty Assembly meeting per academic year (optional).
8. Appoint all members and Chairs of the Standing Committees: Academic Affairs, Faculty and Institutional Affairs Committee, Student Affairs and Campus Life Committee, and the Committee on Committees and Elections. Each Senator must serve on one of these four.
9. Appoint faculty to the Student Grievance Panel for one-year terms.
10. Forward each year four faculty names to the Director of Student Life, one of which will be chosen by the Student Government Association to serve as Faculty Conciliator.
11. Serve as Chair of the Campus Appeal Board.
12. Deliver comments at Convocation in the Fall Semester.
13. Deliver greetings and comments at fall and Spring Commencements.
14. Deliver comments at the Spring Faculty Appreciation Dinner.
15. Select when requested a designee from the General Faculty to serve on special committees formed by the administration.
16. Conduct end-of-year faculty reviews of administration. The Chair and Executive Committee receive, and the Chair compiles, the faculty responses for delivery to the Chancellor.
17. Revise each summer the Faculty Handbook to reflect changes made during the academic year.
18. And other duties as needed or directed by the Senate.

## Section 2. Executive Committee

A. The Executive Committee shall prepare the agenda and publish it five days prior to each regular meeting of the Senate. The following procedure will be adhered to with respect to submitting items for the agenda as long as the Senate meetings are held on Wednesday:

1. Agenda items are to be submitted to the Chair of the Executive Committee no later than 12:30 on Monday of the week preceding the meeting of the Senate.
2. The Executive Committee will meet at least a week prior to the Senate meeting to organize the agenda.

B. The Executive Committee will refer to appropriate Standing Committees or Special Committees' proposals and/or recommendations which it considers should be sent to these committees prior to the Senate. The Committee will note in its report receipt of such items and the disposition made of them.

C. The Secretary of the Senate shall maintain a Motion Log of all Senate actions indicating date and status of each.

D. The Executive Committee of the Faculty Senate shall proof-read the Faculty Handbook prior to printing.

E. The Senate Executive Committee shall have general supervision of the affairs of the Senate between its regular meetings. This includes the implementation of Senate-approved policies and procedures. None of these implementing actions shall conflict with actions taken by the Senate. The Executive Committee shall appoint a Chair pro tem of the Faculty Senate from within the Executive Committee to serve as pro tem Chair of the Senate in the absence of the elected Chair.

### Section 3. Committee on Committees and Elections

A. The Committee on Committees and Elections shall conduct elections to fill positions that will expire in August, excepting those for Alternate Delegate for the Faculty Assembly, which will occur during the regular spring election cycle..

1. Starting in October, ballots will be distributed by email to elect:
  - a. Divisional Senators (See Article III of the UNCP Faculty Constitution for nomination guidelines for these positions);
  - b. Senators-at-Large, immediately following the completion of the election for Divisional Senators; (See Article III of the UNCP Faculty Constitution for nomination guidelines);
2. Starting in February, ballots will be distributed by email to elect:
  - a. Members of the Promotion and Tenure Committee, divisional members of the Faculty Awards Committee, and the Delegate and then the Alternate to the UNC Faculty Assembly (See Article III of the UNCP Faculty Constitution and Article V, Section 5 and Article VII of the Bylaws of the Faculty Senate for nomination guidelines for these positions);
  - b. At-large members of the Faculty Awards Committee immediately following completion of the election for divisional members;
  - c. Faculty Hearing Committee immediately following the completion of the election of members of the Promotion and Tenure Committee (See “Faculty Hearing Committee” in Section II, Chapter I on Faculty Personnel Policies in the UNCP Faculty Handbook for nomination guidelines);
  - d. Faculty Grievance Committee immediately following the completion of the election of the Faculty Hearing Committee (See “Faculty Grievance Procedure” in Section II, Chapter I on Faculty Personnel Policies in the UNCP Faculty Handbook for nomination guidelines);
3. The Committee on Committees and Elections shall conduct elections for unexpired terms of office as the need arises to fill any such vacancy.
4. The Committee on Committees and Elections shall conduct elections in accordance with the following procedures:
  - a. Determine eligibility of candidates (See Article III, Sections 3 through 8 of the UNCP Faculty Constitution);
  - b. Five (5) business days before distributing ballots for any election, post a notice on the official announcements listserv to 1) inform faculty that ballots for particular elections will be distributed in five (5) business days and 2) solicit nominations for those elected positions. Fort-eight hours (48) before the close of the nomination period, post a notice naming the nominations to date and stating that additions and deletions of nominees will be accepted up to one day before ballots are due to be emailed.
  - c. Prepare and email ballots to members of the General Faculty (See Article I, Section 1 of the UNCP Faculty Constitution);
  - d. Allow three (3) business days for return of ballots, by email, to committee members for tallying;
  - e. Determine winners of elections to fill one vacancy (each faculty member has one vote) as follows:
    - (1)The winner is that candidate who receives the greatest number of the votes cast, except that 33% of the votes cast is necessary for election. If the election with only two candidates on the ballot results in a tie, the election will be rerun.
    - (2) Run-off elections will include all candidates who received at least 20% of the votes cast in the previous balloting, except that the

ballot must include those who ranked first and second. If all candidates on the previous ballot received at least 20% of the votes, the last-place candidate will be dropped in the run off election.

- f. Determine winners of elections to fill more than one vacancy (each faculty member has as many votes as there are vacancies) as follows:
  - (1) The winners are those candidates who are selected on the greatest number of ballots and who receive at least 33% of the ballots cast.
  - (2) Run-off elections will include all candidates who are selected on at least 20% of the ballots cast in the previous balloting, except that the ballot must include at least one more candidate than the number of vacancies to be filled. If all candidates on the previous ballot received at least 20% of the votes, the last-place candidate will be dropped in the run-off election.

B. The Committee on Committees and Elections shall nominate the following:

1. All members of Faculty Senate Subcommittees, the Faculty Governance Committee, the faculty members of the Health, Safety, and Environment Committee, the three non-Senate faculty members on the Student Affairs and Campus Life Committee, and one member of the Student Publications Board. The Committee shall select four nominees for the position of Faculty Conciliator for Undergraduate Grade Appeals, which will be forwarded to the SGA for selection of one. (See Article VI, Section 4 of the Faculty Senate Bylaws and Article VI, Section 3C of the Faculty Senate Constitution.) At the Senate's last meeting of the academic year, the Committee will recommend for confirmation by the Faculty Senate all the foregoing nominations. Within one week of the last meeting of the Faculty Senate, the Committee will notify the General Faculty of the confirmed nominations by email.

- a. Following completion of all elected positions, poll faculty to determine individual preferences for appointed faculty governance positions.

2. At least one Faculty Senator as Chair-Elect of the Senate and at least one Faculty Senator as Secretary-Elect. The Faculty Senate will elect these officers at its first meeting of the Spring Semester. The newly elected officers will take office immediately following the first General Faculty meeting of the next academic year. (See Article V, Sections 2 and 3 of the UNCP Faculty Constitution for nomination guidelines.)

C. The Committee on Committees and Elections shall act on requests by Standing Committees for formation of any new Senate-approved subcommittees (See Article VI, Section 6 of the UNCP Faculty Constitution).

#### Section 4. Committee on Faculty Governance

The Committee on Faculty Governance shall review and interpret the Faculty Constitution, the By-laws of the Faculty Senate, and rules of order for the conduct of Senate business. Changes in any of these areas that are approved by this committee will be brought, by the Committee Chair, directly to the Senate for its action.

#### Section 5. Divisions by Areas

A. Division of Arts:

Art

Drama

- Music
- Mass Communication
- Library Science
- B. Division of Education
  - Counseling
  - Education
  - Health, Physical Education, and Recreation
- C. Division of Letters
  - American Indian Studies
  - English and Theatre
  - Foreign Languages
  - History
  - Philosophy
  - Religion
- D. Division of Natural Science and Mathematics
  - Biology
  - Geology
  - Geography
  - Mathematics
  - Computer Science
  - Nursing
  - Chemistry
  - Physics
- E. Division of Social and Behavioral Science
  - Business Administration
  - Political Science
  - Public Administration
  - Psychology
  - Sociology
  - Social Work
  - Criminal Justice

**ARTICLE VI. FUNCTION AND SCOPE OF STANDING COMMITTEES, SUBCOMMITTEES, CONTINUING COMMITTEES AND OTHER COMMITTEES**

The three Standing Committees will be:

- Academic Affairs
- Student Affairs and Campus Life
- Faculty and Institutional Affairs.

Although the Standing Committee memberships are reconstituted each Academic year, the subcommittee memberships will be for two-year, staggered terms allowing for continuity of activity.

**Section 1. Academic Affairs Committee**

A. The Academic Affairs Committee shall consider the following matters: all matters relating to curriculum; policies and standards relating to the admission and retention of students; and recommendations concerning learning resource materials and services. Specifically regarding Senate vote on curriculum matters, the Chair of the Academic Affairs Committee is immediately to present to the Registrar all information pertaining to each individual course which is necessary for the computer data bank. In anticipation of this, the required course description presented to the Subcommittee on Curriculum should be the exact catalog wording desired by the department. The Committee shall regularly inform the Senate of its actions and recommendations.

B. The Academic Affairs Committee will be composed of thirteen voting members:

1. Eight Senators,
2. The Provost and Vice Chancellor for Academic Affairs,
3. The four Chairs of Subcommittees of the Academic Affairs Committee.

C. The Committee shall have four subcommittees:

1. The Subcommittee on Curriculum shall examine all proposals and policies relating to curriculum. This subcommittee is responsible for sending to the Academic Affairs Committee all information pertaining to each individual course which is necessary for the computer data bank. The Curriculum Committee shall make recommendations to the Academic Affairs Committee on their adoption based upon policies disseminated in the Faculty Handbook, Section II, Chapter 5 on Faculty Participation in Academic Policy and Curriculum Development.
2. The function of the Enrollment Management Subcommittee shall be to consider policies and standards related to admissions and recruitment, financial aid, retention, advising, graduation, and related areas. The Subcommittee shall also be charged with receiving expressions of concern or interest regarding any of the areas listed above from faculty, staff, administration, or students. The Subcommittee shall, as it deems necessary, make recommendations to the Academic Affairs Committee on these matters.
3. The Subcommittee on Academic Support Services shall examine proposals and policies relating to the operations and development of the Library, the Academic Support Center, the Division of Information Technology, and the University Writing Center and shall make appropriate recommendations/proposals to the Academic Affairs Committee.

The Subcommittee shall also conduct, with the assistance of the Office of Institutional Effectiveness, a regular, usually biennial survey of the University community to assess perceptions of facilities and services of each academic support service area. The Subcommittee will report the information from the survey to the Academic Affairs Committee, director of the appropriate academic support service area, the Assistant Vice Chancellor for Academic Affairs, and the Provost and Vice Chancellor for Academic Affairs.

4. The General Education Subcommittee shall review the established/published goals of the General Education Program to ensure their concurrence with the University mission; review proposed changes in the General Education requirements for policies to ensure their concurrence with established program goals; and consider other matters referred to it.

The Subcommittee shall submit all matters of policy pertaining to the General Education Program and all curriculum proposals directly to the Academic Affairs Committee for its consideration.

## Section 2. Faculty and Institutional Affairs Committee

A. The Faculty and Institutional Affairs Committee will consider the following matters: all matters relating to faculty, economic aspects of matters of concern to the Senate and its other committees; recommendations in areas of University business affairs as they affect educational policies, and of long-range projections and planning for the total development of the University; issues of environmental concern for the campus community including those related to health and sustainability.

B. The Faculty and Institutional Affairs Committee will be composed of thirteen voting members:

1. Seven Senators,
2. The Vice Chancellor for Finance and Administration,
3. The Vice Chancellor for Advancement,
4. Associate Vice Chancellor for Academic Affairs,
5. Chair of the Faculty Development and Welfare Subcommittee,
6. Chair of the Faculty Evaluation Review Subcommittee.
7. Chair of the Health, Safety and Environment Subcommittee

C. The Committee shall have three subcommittees:

1. The Subcommittee on Faculty Development and Welfare shall examine all proposals and policies relating to faculty, and shall, as necessary, make recommendations to the Faculty and Institutional Affairs Committee on such matters. Among the areas of concern of the Faculty Development and Welfare Subcommittee will be the following: Faculty development, evaluation, and criteria governing appointment and retention procedures; salary scale, leaves of absence, sabbaticals, fringe benefits, resignations, recognition of retirees, grievances, and collegiality. The Subcommittee also administers the James F. Hubbard Faculty Leave Fund.
2. The Faculty Evaluation Review Subcommittee shall review the Faculty Evaluation Model regularly and strive to clarify the existing document. The subcommittee shall make recommendations to the Faculty and Institutional Affairs Committee regarding any changes in the written document and shall respond to all requests for alteration of the document or its underlying philosophy.
3. The Health, Safety, and Environment Subcommittee will discuss and investigate issues related to the health concerns of students, staff and faculty due to environmental conditions on campus in addition to issues related to environmental sustainability. Members of the Faculty, Staff or Student body may attend and make known concerns they have related to health, safety and environment issues. The committee may meet more often when needed to investigate specific issues that may arise.

### Section 3. Student Affairs and Campus Life Committee

A. The Student Affairs and Campus Life Committee will study and make recommendations about areas of student affairs or campus life, either those referred to it or initiated by it.

B. The Student Affairs and Campus Life Committee will consist of ten voting members or thirteen:

1. Three Senators one of whom will be selected by the Chair of the Senate to represent this committee on the Executive Committee,
2. The Vice Chancellor for Student Affairs,
3. Three additional faculty members,
4. Two students, the President of the SGA, one additional student to be selected by the Vice Chancellor for Student Affairs,
5. The Chair of the Student Publications Board.

C. The Committee shall be responsible for one Board:

1. The Student Publications Board will serve as the selection committee for the newspaper editor, the yearbook editor and the literary magazine editor, will serve as the arbitrator in the event that censorship pressures arise, and will develop other roles which the Board deems proper. The Board will not, however, attempt to provide active oversight of the day-to-day workings of student publications.

### Section 4. The Composition of Subcommittees and Boards

The Subcommittees and Boards shall be composed as follows, with each member having one vote:

A. Academic Affairs Committee

1. The Subcommittee on Curriculum:  
Two Representatives from each Division,  
One Representative from the Office for Academic Affairs,  
Registrar,  
SGA Secretary,  
SGA Senator.
2. The Enrollment Management Subcommittee  
One faculty member from each division, one of whom shall Chair the subcommittee,  
Associate Vice Chancellor for Enrollment  
Director of the Center for Student Success  
One SGA representative.
3. The Subcommittee on Academic Support Services:  
One Representative from each Division, one of whom shall Chair the subcommittee  
Associate Vice Chancellor for Information Resources,  
Dean of Library Services,  
Director of the Center for Student Success,  
Director of the Accessibility Resource Center,  
Director of the Writing Center  
Two at-large faculty members from departments not already represented,  
One Graduate Student,  
One SGA Senator.
4. The General Education Subcommittee  
One faculty member representing each of the following General Education areas (one of whom will Chair the subcommittee):  
Arts  
Business/Economics  
Education/Physical Education  
Humanities  
Natural Science/Mathematics  
Social Sciences  
A Representative of the Office of Academic Affairs

Each of the faculty representatives will serve a two-year term, three beginning on even numbered years and three on odd numbered years. Selection will be by appointment by the Committee on Committees and Elections as with other subcommittees.

B. Faculty and Institutional Affairs Committee

1. The Subcommittee on Faculty Development and Welfare:  
Two representatives from each Division,  
The Director of Human Resources.
2. The Faculty Evaluation Review Subcommittee  
The subcommittee shall consist of seven members. Each division will be represented on the subcommittee and there will be two at-large members. At least two of the faculty appointed each year must be tenure. At-large members must come from departments not already represented.
3. The Health, Safety, and Environment Committee

There shall be seven members, one from each of the five divisions, and one from the Department of Nursing and one from the Library. The five divisional faculty members are to be nominated by the Committee on Committees and Elections and confirmed by the Senate. Also, there shall be a representative from the Staff Council. The committee will also include the Safety Officer for Environmental Health and Safety, and the Chief of University Police. The committee will be chaired by one of the faculty members, and the chair of this committee will serve as one of the faculty representatives on the University Campus Safety and Health Committee.

C. Student Affairs and Campus Life Committee

1. The Student Publications Board will be composed of:

The Associate Vice Chancellor for Student Affairs,  
The faculty advisor of the student newspaper,  
The faculty advisor of the student yearbook,  
The faculty advisor of the student literary magazine,  
One faculty member who is not actively involved in student publications, to be nominated by the Committee on Committees and Elections,  
The editor of the student newspaper,  
The editor of the student yearbook,  
The editor of the student literary magazine,  
The SGA president or her/his designee.

D. The Chair of the Standing committee or parent committee shall appoint, or conduct an election for, subcommittee Chairs.

Section 5. Meetings.

Upon organization by the Senate each committee and subcommittee shall meet, establish and publish a list of its scheduled meetings according to the following calendar:

A. FACULTY SENATE

The first Wednesday of each month

COMMITTEE ON ACADEMIC AFFAIRS

The third Wednesday of each month

SUBCOMMITTEE ON CURRICULUM

The first Thursday of each month

SUBCOMMITTEE ON GENERAL EDUCATION

The fourth Thursday of each month

SUBCOMMITTEE ON ACADEMIC SUPPORT SERVICES

The second Tuesday of each month

SUBCOMMITTEE ON ENROLLMENT MANAGEMENT

The second Wednesday of each month

COMMITTEE ON FACULTY AND INSTITUTIONAL AFFAIRS

The fourth Tuesday of each month

SUBCOMMITTEE ON FACULTY DEVELOPMENT AND WELFARE

The second Thursday of each month

SUBCOMMITTEE ON FACULTY EVALUATION REVIEW

The first Tuesday of each Month

SUBCOMMITTEE ON HEALTH, SAFETY, AND ENVIRONMENT

The first Monday of each month

COMMITTEE ON STUDENT AFFAIRS AND CAMPUS LIFE

The third Monday of each month

SENATE EXECUTIVE COMMITTEE

Always on a Monday or Tuesday, of the week preceding the Senate meeting

COMMITTEE ON COMMITTEES AND ELECTIONS

Always available for required tasks

Special meetings may be called as the need arises.

FACULTY GOVERNANCE COMMITTEE

The third Tuesday of each month

B. Calendar

The Senate Chair and Executive Committee will publish, at the start of the fall semester, a calendar for the academic year of meeting dates and times for each Standing Committee and related Subcommittees of the Senate. The Chair and Executive Committee will also solicit meeting information from other Committees that are related to the Senate. This information will be summarized and published as early as possible in the fall semester.

C. Absences from Meetings

When a member of either a Committee or Subcommittee cannot be present for a meeting, the member will notify the Chair of the Committee or Subcommittee in writing.

When a member of a Committee or Subcommittee misses more than two regular meetings, that member will be dismissed from the committee. A replacement will be chosen in accordance with Article VI, Section 3. A of the Faculty Constitution (for a subcommittee member) and Article VI, Section 4 (for a committee member).

Section 6. Faculty Research Advisory Board

A. The Faculty Research Board, a Continuing Committee of the Faculty Senate, shall advise the Faculty Senate and the Chancellor with respect to issues affecting faculty research, scholarly and creative activity. It shall propose initiatives that support faculty research, scholarship and creative activity; consider issues related to these activities submitted to it by the faculty; and monitor the general campus climate for such efforts.

B. The members of the Faculty Research Advisory Board shall be selected on the basis of demonstrated experience in research, scholarly or creative activity and be reflective of a diversity of disciplines. The Board shall meet at least once a semester and more frequently if needed.

Section 7. Teacher Education

All teacher education undergraduate curriculum proposals originating in the Teacher Education committee shall be referred to the Subcommittee on Curriculum. Graduate curriculum matters shall be referred to the Graduate Council.

Section 8. Graduate Council

The Graduate Council (not a committee of the Senate but a committee of the University) shall submit directly to the Senate for its approval all matters of policy pertaining to the graduate program. All curriculum proposals from the Graduate Council shall be referred to the Subcommittee on Curriculum.

Section 9. The Chairs of the Faculty Hearing Committee and the Faculty Grievance Committee will report to the Faculty Senate early in the fall semester on the number of cases heard during the previous academic year (and/or summer).

#### Section 10. Other University Committees

Operating out of a commitment to shared governance, the Faculty Senate recognizes the importance of communication among the many parties involved in the life of the university community. According to the AAUP Statement on Government of Colleges and Universities, “a college or university in which all the components are aware of their interdependence, of the usefulness of communication among themselves, and of the force of joint action will enjoy increased capacity to solve educational problems.”

To this end, in the month preceding the last Senate Meeting of each semester, the Faculty Senate Executive Committee will review the current university committee lists and select appropriate committees from which to request reports for that semester. Selected University committees (not committees of the Faculty Senate, but committees appointed by the Chancellor or the Vice Chancellors) shall report at the last Faculty Senate meeting of each semester. If possible, the reporting committee should be represented by a member of the Faculty who is also a member of that committee. The Senate, which should also expect a written report of the committee's activities during the past semester, should feel free to ask questions and to send requests to the committee.

#### ARTICLE VII. ELECTIONS OF DELEGATES TO THE FACULTY ASSEMBLY OF THE UNIVERSITY OF NORTH CAROLINA

Any faculty member who is eligible to serve on the Senate is also eligible to serve as a Delegate or Alternate to the Faculty Assembly of The University of North Carolina. A delegate may serve no more than six of the preceding nine years; the terms of Alternates shall correspond to the terms of Delegates. Regular terms, three years in length, shall begin and end on July 1 of each year. Election of one Delegate and one Alternate shall be held in the spring. In the event of a vacant Delegate seat, the Alternate Delegate holding the same term will fill this position, becoming a Delegate. The Committee on Committees and Elections will fill the vacant Alternate Delegate seat during the regular spring election cycle for Faculty Assembly Alternate Delegate.

#### **Faculty Senate and Related Committee Memberships for the Current Year**

It is the responsibility of the Chair of the Committee on Committees and Elections to provide the Secretary of the Senate a list of the current membership of the Faculty Senate, its Committees, Subcommittees, and other appointed and elected Committees for posting to the website for the Faculty Senate at <http://www.uncp.edu/about-uncp/administration/faculty-senate>.

#### **Faculty Committees and Governance Responsibilities**

Faculty members serve on a wide variety of University/Administrative committees, both continuing and ad hoc, instituted to advise with regard to campus issues. Membership on such committees may be by election or by appointment. Most operate independently from the formal faculty governance structure and may report to the Faculty Senate annually/bi-annually. Membership may last from one to three years.

The Faculty Senate's Committee on Committees and Elections polls the faculty each year for committee preferences for those committees on which membership is both elective and appointed. Appointments to other committees are typically the province of the Chancellor, the Provost, or another administrator. On some occasions, the Faculty Senate Chair will suggest the names of prospective members to the respective administrator. Faculty members who may wish to serve on a particular committee of which the Faculty Senate conducts elections/appointments should make their desires known on the preference poll

when it comes out. Faculty interested in serving on administrative committees may notify the person making the appointments to the body in question.

### **Graduate Council**

The Graduate Council is the University-wide body responsible for approving all policy and curriculum matters affecting graduate programs. It formulates and recommends policies and standards for graduate programs to the Faculty Senate. The Council reviews, formulates, and recommends curriculum changes, new programs and changes in existing programs to the Faculty Senate's Subcommittee on Curriculum. The Council approves all teaching personnel for graduate courses.

The Dean of the School of Graduate Studies serves as the Chair of the Graduate Council and is responsible for bringing all policy and curriculum matters relative to all graduate programs to the Council for its action. In consultation with the Dean of the School of Graduate Studies, the Provost and Vice Chancellor for Academic Affairs appoints the members of the Graduate Council. They include the graduate program directors, the Dean of the School of Education, and three graduate faculty members (at-large).

### **Teacher Education Committee**

The Teacher Education Committee is the University-wide committee responsible for all Teacher Education Programs at The University of North Carolina at Pembroke. Its specific functions include establishing teacher education policies, reviewing all proposed changes to teacher education curricula, reviewing proposed Teacher Education Programs, reviewing the professional studies component of the program, approving applicants to the Teacher Education Program, approving applicants for the professional semester, assuring compliance with state and national accreditation standards, and considering other matters related to Teacher Education.

The Teacher Education Committee is comprised of a faculty member from each of the Teacher Education Program areas and components, two undergraduate student representatives, one graduate student representative, and three representatives from the area schools, the Dean of the College of Arts and Sciences, the Dean of the School of Education, and the Associate Dean of the School of Education. The following personnel from the Teacher Education Program also serve on the Committee: Director of Assessment, Director of Instructional Technology, Director of Recruitment and Retention, Director of University School Programs, and the Licensure Officer.

The Dean of the School of Education serves as the Chair of the Committee and designates a representative from the School of Education or College of Arts and Sciences to officiate at the Committee meetings. The Provost and Vice Chancellor for Academic Affairs, in consultation with the Dean of the School of Education, appoints committee members for terms of one academic year.

The Teacher Education Committee is a University-wide committee appointed annually by the Provost and Vice Chancellor for Academic Affairs, in consultation with the Dean of the School of Education. A representative of the committee is provided the opportunity to report committee actions at each meeting of the Faculty Senate.

Proposed changes to the undergraduate Teacher Education curriculum approved by the Teacher Education Committee are forwarded to the Faculty Senate's Subcommittee on Curriculum for processing through the Senate structure. Proposed changes to the graduate Teacher Education curriculum approved by the Teacher Education Committee are forwarded to the Graduate Council for its consideration, approval and processing through the Senate structure.

### **UNC Faculty Assembly**

The UNC Faculty Assembly is a system-wide advisory body that meets regularly to discuss issues of concern to faculty and to advise the Office of the President with respect to those issues. The Faculty Assembly is the elected body of representatives of the faculty of the seventeen campuses of the University of North Carolina. Its objectives are set forth in the Assembly Charter. The Assembly is dedicated to upholding and exercising the principles of academic freedom, shared governance, tenure, and the faculty's primary responsibility for the University's curriculum. The UNCP faculty sends three representatives (or alternates), elected by the general faculty, to represent its interests and to express its views to the Assembly. For more information on the UNC Faculty Assembly, see the website for the UNC General Administration at <https://www.northcarolina.edu/leadership-policy/faculty-assembly> and the website for the UNC Faculty Assembly at <http://www.uncfacultyassembly.org/>.

### **State Open Meetings Regulations**

Under the statutes of the State of North Carolina, with limited exceptions, meetings of regularly constituted committees of public bodies such as the University are open to any interested person. In general, conveners have a responsibility to publicize the time and location of meetings in a timely way, so that interested persons have an opportunity to attend. Standing committees (for example, those established by the Bylaws of the UNCP Faculty Senate) meet at times defined in published documents. Deviations from those times should be announced in a public and timely fashion. For details of the open meetings regulations, or for specific questions, please consult the University Counsel. For more information on the State Open Meetings Regulations, see the website for the University Counsel at <http://www.uncp.edu/about-uncp/administration/departments/general-counsel/faqs>.

**UNCP FACULTY HANDBOOK**  
**SECTION II**

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**FACULTY POLICIES**

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**SECTION II  
CHAPTER 1  
FACULTY PERSONNEL POLICIES**

**Recruitment and Hiring Policies**

This Recruitment Policy should be reviewed carefully prior to the beginning of any faculty search or hiring process.

Once a vacant position occurs in an academic department, the Chair requests approval from the Dean who requests approval from the Provost to advertise the position. The Chair requests from the Dean's office a hiring packet which contains the following items:

- Guidelines for Recruitment and Selection of New Faculty,
- Advertisement Requisition Input/Authorization Form,
- Sample of the position announcement,
- Affirmative Checklist EPA Personnel Actions,
- Copy of the UNC Pembroke Application for Academic Positions, and
- Faculty Appointment Recommendation Form.

All faculty positions should be advertised nationally, usually in the *Chronicle of Higher Education* and, if necessary, other discipline specific advertising media. The only exception occurs when time constraints (e.g., if classes are to begin shortly) prohibit a regular search. In that instance, regional advertising and calls to several universities about potential candidates are appropriate. When time does not permit a national search, a faculty member will be given a temporary contract for a semester with the approval of the Affirmative Action Officer and with the understanding that a national search will be launched at a later point. All advertisements should include the Affirmative Action/Equal Opportunity Employer designation. All advertisements should contain the statement, "Review of applications will begin [the appropriate date] and continue until the position is filled." The Office of Academic Affairs processes the advertisement and sends it to purchasing once the Provost or the Dean has approved the form. In addition to formal advertisements, the Chair sends an announcement to a large number of institutions that prepare graduates in the appropriate discipline, including minority universities.

Once the department has reviewed the applications and selected those candidates they may wish to interview, the Office of Academic Affairs reviews all applications and makes a decision on the candidate's interview. The institution covers all allowable expenses of the candidate's visit; Chairs are requested to work with candidates in determining the best price for air travel. Candidates should be asked to sign travel request and reimbursement forms while they are on campus for the interview.

It is very important for the Chair and departmental search committee to make telephone calls to find out as much as possible about the candidate prior to inviting the candidate for an interview. In addition, substantive conversations with the candidate should occur for the purpose of assessing the candidate's appropriateness for and seriousness about the position.

An itinerary should be designed for each candidate's visit and shared with all who will be involved with the candidate during the visit including the Office for Academic Affairs. The itinerary should allow time for involvement with the Chair, all departmental faculty, students in an informal setting, and the Office for Academic Affairs. The Chancellor should be involved with candidates for Department Chair and for distinguished chairs. Thirty to 45 minutes should be designated for interviews with the Provost and the appropriate Dean.

The candidate is required to make a 30-50 minute presentation, preferably to a class, which is observed by the department chair and as many of the faculty as possible. The appropriate Dean will also attend the presentation if at all possible. Please inform the candidate about the specific nature and time of the presentation before the campus visit. The department is expected to make use of telephone interviews, conversations with the candidate, and the candidate's oral presentation to ensure that the candidate is proficient in oral communication in the language in which assigned courses will be taught.

All candidates whose native language is not English must submit evidence that they have received a score of 550 or better on the TOEFL examination. The department should also use its review of written materials submitted by the candidate to ensure that the candidate is proficient in written communication in the language in which assigned courses will be taught.

It is the responsibility of the Department Chair to secure from the candidate all materials required for the personnel folder:

- Resume,
- UNC Pembroke application,
- Three letters of professional recommendation, and
- Official transcripts sent directly to the Department Chair or to the Dean of the relevant School or College from all post-secondary institutions the candidate has attended.

The completed personnel folder must be submitted to the Dean of the relevant School or College in order for a selected candidate's contract to be written. All personnel material must be on file in the Office for Academic Affairs within 90 days of the contract date. **If information is missing after 90 days, salary will be withheld.**

Once the decision is made about the position offer and approved by the Dean of the relevant School or College, the Chair and the appropriate Dean will jointly decide on the appropriate salary figure. A letter describing the hiring process of the particular candidate and providing the appropriate available affirmative action information should be sent to the Affirmative Action Officer for approval. The Chair then makes the offer by telephone and determines with the prospective faculty member the appropriate date of response. A week for response is probably an ample amount of time.

If the response is positive, the contract is prepared by the Office of the Dean of the relevant School or College, signed by the Chancellor, and sent to the faculty member. If the response is not positive, the department continues to pursue other identified candidates. Once the contract has gone out, the Chair should complete all relevant forms from the hiring packet and forward them to the Office for Academic Affairs, including the Faculty Appointment Recommendation form. Please refer to the hiring packet (available from the Office or the Dean of the relevant School or College) for more specific details of the recruitment and selection process.

### **Personnel Records**

Faculty members have the right to examine their personnel records, wherever they may be kept (Department office, Dean's office, Office for Academic Affairs, Office of Human Resources). Access is to be arranged with the relevant administrator. It is the right of any employee of the University, to examine a digest of any evaluation taken on their behalf.

### **Statement on Potential Disclosure of Faculty Documents and Communications**

The North Carolina Public Records Act, N.C.G.S. Sec. 132-1, et seq. (the "Act,") provides, "The public records and public information compiled by agencies of the [North Carolina] Government . . . are the property of the people. It is the policy of this State that the people may obtain copies of their public

records and public information . . . unless otherwise specifically provided by law." This statute applies to UNCP and includes documents (whether email, voice mail, or paper documents, or in any other recorded format) made or received by faculty members within the scope of their duties. There are exceptions to this Act, but the Act is only one of the legal avenues that may be used to require disclosure of faculty documents and electronic communications. Other such legal avenues include, but are not limited to, search warrants that may be secured by law enforcement, subpoenas that may be issued by litigants' counsel, the courts, or certain State and federal agencies, and other court orders.

UNCP is currently working on development of a computer and communication equipment use policy that addresses the extent, if any, to which University systems may be used incidentally by employees, including faculty, for private emails or voice mails. However, such a policy will primarily address the extent, if any, to which the University will recognize a student's, faculty member's or other employee's expectation of privacy in such documents and communications when it is necessary to determine whether the University will, without an external legal mandate, access faculty documents, email, or voicemail. When adopted, that policy will not (and cannot) protect such documents, email and voicemail from disclosure pursuant to search warrants, subpoenas, other court orders, or any other legally enforceable discovery procedures, including the North Carolina Public Records Act if no exception to that Act applies.

### **Appointment to Faculty Rank**

Faculty appointments are made by the Chancellor, with the approval of the Board of Trustees, on the recommendations of the Provost, the Dean of the relevant School or College, and the Chair of the academic department. Faculty rank for newly appointed faculty members is determined on the basis of qualifications.

Pursuant to Executive Memorandum #2, "Eligibility for Tenure Track Positions," effective January 28, 2011, all tenure track positions require a doctorate in the discipline as defined by the disciplinary faculty and a national search. Requests for exceptions require a compelling rationale to justify the exception. Exceptions will be considered when cases can be made to show that trends within the national discipline allow for degrees other than the doctorate. Exceptions to this policy require the approval of the Dean, Provost, and Chancellor. The requirement of the doctorate does not apply to annual or multi-year term positions. However, individuals hired into term positions must have degrees that meet the minimum SACS requirements. Deans and Department Chairs, in consultation with departmental faculty, have the option to increase the requirement for any term position to require the doctoral degree.

Academic tenure pertains exclusively to the employment of faculty members who are appointed to specific faculty ranks ("fixed term appointment"). They may also be for probationary terms ("probationary term appointments") or they may be continuous until retirement, death, or resignation ("appointment with permanent tenure"). The faculty ranks to which appointments may be made and the incidents of academic tenure applicable to each are described below.

### **Instructor**

The rank of Instructor is appropriate for one who is appointed to the faculty in the expectation that in the normal course he/she will progress to professional rank in this or another institution but lacks, when appointed, one or more qualifications expected by the University for appointment to professorial rank. When he/she meets all those qualifications, the faculty member will usually be promoted to Assistant Professor or given a terminal appointment of one academic year.

The initial appointment to the rank of Instructor is for a probationary one-year term. The Instructor may be reappointed successively for six one-year terms, a total of seven such terms. At least 90 calendar days before the end of the first term and 180 calendar days before the end of the second consecutive term, the Instructor shall receive written notice whether, when his/her current term expires, he/she will be

reappointed at the rank of Instructor for another term, promoted to the rank of Assistant Professor, appointed to a fixed term as provided in the section below on “Initiation, Review, and Approval of Appointments, Promotions, and Reappointments,” or not reappointed.

During the last 180 days of the second consecutive year of employment, the institution may notify the Instructor that his/her employment will be terminated at the end of the third year of employment. Before the end of the third consecutive term, an Instructor who has not been notified that his/her employment will be ended in that year as provided in the preceding sentence will receive a written decision whether, when his/her current term expires, he/she will be reappointed to a fourth consecutive term, promoted to the rank of Assistant Professor, appointed to a fixed term as provided in the section below on “Initiation, Review, and Approval of Appointments, Promotions, and Reappointments,” or offered a terminal appointment for one academic year at the end of the current term. Decisions will be made with respect to these same options before the end of the fourth, fifth, and six consecutive terms.

No reappointment to the rank of Instructor may be made after seven consecutive years of employment at that rank. The failure to give the required notice of a decision not to reappoint at any point herein required has the same effect as a decision at that time to offer a terminal appointment at the same rank for one academic year. The decisions herein required will be made as provided in the section below on “Initiation, Review, and Approval of Appointments, Promotions, and Reappointments.” Promotion at any time from the rank of Instructor to the rank of Assistant Professor constitutes an initial appointment to the first two-year term at the later rank under the terms and conditions described below in the section on “Assistant Professor.”

### **Assistant Professor**

The initial appointment to the rank of Assistant Professor is for a probationary two-year term. Unless at any point the Assistant Professor is not reappointed, he/she will be reappointed one additional two-year term and one three-year term before a decision is made to recommend permanent tenure at the same or higher rank or not to reappoint.

At least 180 calendar days before the end of the first two-year appointment, the Assistant Professor will receive written notice whether, when his/her current term expires, he/she will be reappointed at the rank of assistant professor for an additional two-year term or not reappointed. Before the end of the first year of the second two-year term as Assistant Professor, the Assistant Professor will receive written notice whether, when his/her current term expires, he/she will be reappointed to a three-year term or not reappointed. Before the end of the second year of the three-year term as assistant professor, the Assistant Professor will receive written notice whether, when his/her current term expires, he/she will be reappointed with permanent tenure at the same or higher rank or not be reappointed.

The failure to give the required notice of a decision not to reappoint at any point herein required has the same effect as a decision at that time to offer a terminal appointment at the same rank for one academic year. The decisions herein required will be made as provided in the section below on “Initiation, Review, and Approval of Appointments, Promotions, and Reappointments.” Promotion at any time from the rank of Assistant Professor to the rank of Associate Professor constitutes an initial appointment to the first three-year term at the latter rank under the terms and conditions described below in the section on “Associate Professor.”

### **Associate Professor**

When a faculty member’s initial appointment by the institution is to the rank of Associate Professor, the appointment is to a probationary term of one three years. Unless at any point the Associate Professor is not reappointed, he/she usually will be reappointed to one four-year term before a decision is made to recommend permanent tenure at the same or higher rank or not to reappoint. At least one year before the

end of the three-year appointment, the Associate Professor will receive written notice whether, when his/her current term expires, he/she will be reappointed at the rank of Associate Professor for a four-year term or not reappointed. Before the end of the third year of the four-year appointment, the Associate Professor will receive written notice whether, when his current term expires, he will be reappointed with permanent tenure at the same or higher rank or not reappointed.

The failure to offer the required notice of a decision not to reappoint at any point herein required has the same effect as a decision at that time to offer a terminal appointment at the same rank for one academic year. The decisions herein required will be made as provided in the section below on “Initiation, Review, and Approval of Appointments, Promotions, and Reappointments.” A promotion at any time from the rank of associate professor to the rank of professor confers permanent tenure from the effective date of the promotion. Since this promotion confers permanent tenure, it must be approved by the President and the Board of Trustees.

### **Professor**

An initial appointment by the University to the rank of Professor is for a probationary term of three years. Before the end of the second year of the three-year term, the Professor will receive written notice whether, when his current term expires, he/she will be reappointed at rank with permanent tenure or not reappointed. The failure to give the required notice of a decision not to reappoint at any point herein required has the same effect as a decision at that time to offer a terminal appointment for one academic year. The decisions herein required will be made as provided in the section below on “Initiation, Review, and Approval of Appointments, Promotions, and Reappointments.”

### **Initiation, Review, and Approval of Appointments, Promotions, and Reappointments**

Each initial appointment to a fixed or probationary term, each promotion in rank, each reappointment to a fixed term, and each reappointment of an Instructor, Assistant Professor, Associate Professor, or Professor, whether or not the reappointment recommends the conferral of permanent tenure, is initiated by recommendation of the Provost and Vice Chancellor for Academic Affairs after consulting with the Chair of the Department concerned and the Committee on Promotion and Tenure. The recommendation of the Provost and Vice Chancellor for Academic Affairs will be sent to the Chancellor. If the Provost and Vice Chancellor decides the faculty member should not be reappointed, promoted, or recommended for permanent tenure, s/he shall give the faculty member being considered a simple, unelaborated written statement of that decision.

If the Chancellor decides not to recommend reappointment, promotion or permanent tenure, he shall give the faculty member being considered a simple, unelaborated written statement of the decision. This decision is final except as it may later be reviewed in accordance with the provisions of the section below on “Non-Reappointment of Tenure Track Faculty Members on Probationary Term Appointments.” If the Chancellor concurs in a recommendation that will confer permanent tenure, he shall forward the recommendation to the Board of Trustees for final approval. The Chancellor will forward all other favorable recommendations in regard to appointments, reappointments, and promotions to the Board of Trustees for final approval unless that Board delegates the authority to give final approval.

### **Terms and Conditions of Appointments**

The terms and conditions of each initial appointment and of each reappointment to the faculty will be set out in writing. A copy of the terms, signed by the Chancellor, will be delivered to the faculty member, and the Chancellor will retain a copy. The general terms and conditions of such appointments, including those provided herein, will be either set out in the document of appointment or incorporated therein by clear reference to specified documents that shall be readily available to the faculty member.

Any special terms and conditions will be clearly stated in the written appointment. Except as herein provided, no special terms or conditions may be included that vary the general terms and conditions stated herein. The Provost and Vice Chancellor for Academic Affairs will be responsible for initiating the inclusion of special terms and conditions in documents of appointment.

### **Shared Faculty Appointments**

This section pertains to faculty members whose appointments are shared between two or more academic departments. Faculty members with a shared appointment will have only one designated tenure-home department and college or school. The affected Department Chairs, Dean(s), and Provost should initially approve appointments. A written Letter of Agreement will be prepared confirming terms and conditions of the appointment and must be signed by the faculty member, Department Chairs, Dean(s), and Provost, and should contain: 1) designation of “home” and “secondary” departments for purposes of evaluation (see below); 2) duration of shared appointment; 3) distribution of teaching load and other duties between the departments and representation of total time as percentages (e.g., 60/40); and 4) specification of the shared faculty member's voting rights and other departmental privileges. Any modifications to the Letter of Agreement must be negotiated and agreed upon by the faculty member, Chairs of the affected departments, Dean(s), and Provost.

Evaluation of shared faculty members will be consistent with current UNCP Faculty Handbook policies and criteria with the following exceptions: 1) Peer Evaluation Committees should contain representation from all affected departments; 2) the secondary Chair may provide a written report to the home Chair two weeks prior to the date of submission as mandated by the calendar of evaluation, which the home Chair may incorporate into his or her Chair's Evaluation Report. Any grievance by the shared faculty member shall follow current UNCP policies.

### **Continued Availability of Special Funding**

The appointment, reappointment, or promotion of a faculty member to a position funded in whole or in substantial part from sources other than continuing state budget funds or permanent trust funds shall specify in writing that the continuance of the faculty member's services, whether for a specified term or for permanent tenure, shall be contingent upon the continuing availability of such funds. This contingency shall not be included in a faculty member's contract in either of the following situations:

1. In a promotion to a higher rank if, before the effective date of that promotion, the faculty member had permanent tenure and no such condition is attached to the tenure.
2. If the faculty member held permanent tenure in the institution on 1 July 1975 and his contract was not then contingent upon the continuing availability of sources other than continuing state budget or permanent trust funds.

### **Provisions for Less than Full-Time Employment**

Special terms for less than full-time employment with commensurate compensation, or for relief from all employment obligations for a specific period, may be included in an appointment or reappointment to any faculty rank or may be added by a written memorandum of amendment during the term of an appointment. For compassionate reasons of health, or requirements of childbirth or child care, or similar compelling reasons, such terms may, with the concurrence of the faculty member, include extensions of the period of a current probationary term of appointment to coincide with the extent and duration of the relief from the full-time employment obligation. Such special terms must be expressly stated in initial appointment documents or, if added by memorandum of amendment, must be approved by signature of the Chancellor and the faculty member, with a copy to be retained by each. Except as may be otherwise expressly provided in the document of appointment, all appointments to any faculty rank are on the basis of a full-time employment obligation and confer the full incidents of academic tenure pertinent to the particular appointment. These provisions will not apply to informal temporary adjustment of the regularly

assigned duties of faculty members by the Department Chair who is responsible for their direct supervision or to the University's granting of extended leaves of absence with or without compensation.

### **Special Faculty Appointments (Non-Tenure-Track, Contingent)**

Special faculty members are appointed to a specific category. Appointments may be made to fixed-term faculty ranks with title designations “lecturer,” “artist in residence,” “writer in residence,” and any faculty rank designation with the prefix-qualifier “adjunct,” “clinical,” or “research.” Appointments may be to full-time or part-time and paid or unpaid positions. The qualifications of persons hired for Lecturer, Senior Lecturer, Adjunct, and Visiting positions will depend on the needs and standards of the departments. The minimum qualification should be: a doctoral or master’s degree in the teaching discipline or a master’s degree with a concentration in the teaching discipline (a minimum of eighteen graduate hours in the teaching discipline). A faculty member hired as an exception to this requirement must have documented qualifications on file with Academic Affairs. Other desirable qualifications may include: experience in effective teaching within the discipline, enthusiasm for teaching, and a commitment to developing as an educational professional.

Lecturer, Senior Lecturer, Adjunct and Visiting positions are not intended to lead to tenure-track appointments. A faculty member who has extensive responsibilities for research or creative endeavors in addition to their teaching responsibilities should not be appointed to a Lecturer, Senior Lecturer, Adjunct, or Visiting position. Creation of a new Lecturer position is not intended to be a means of retaining a tenure probationary faculty appointee who has not been able to demonstrate the performance levels required for tenure. The letter of appointment specifies the terms and duration of service in accordance with the policies described in this section of the Handbook. Whether paid or unpaid, special faculty members are not covered by Section 604 of *The Code of the Board of Governors of the University of North Carolina*.

### **Full-Time Appointments: Lecturer, Senior Lecturer, Adjunct, and Visiting Faculty**

Lecturers, Senior Lecturers, Adjunct, and Visiting faculty are responsible primarily for teaching and the scholarship of teaching. They are also expected to provide service that supports the academic mission of UNCP such as student advising.

As tenure-track faculty members do, Lecturers have organizational responsibility for the courses they teach. They also adhere to departmental guidelines for course content if any exist. They perform service for the department or school (including the Faculty Senate and its subcommittees), and can be assigned student advising responsibilities. Supervision and mentoring of lecturers will be done in the same manner as for tenure-track faculty. Lecturers are eligible for long-term contracts and to be promoted to Senior Lecturers. Initial appointment is for a fixed term of one year. Subsequent appointments may be made for fixed terms of from one to five years.

Promotion to Senior Lecturer is based on continued improvement in and demonstration of excellence in teaching with at least satisfactory performance in service activities. After serving as a Lecturer at UNCP for five years, a Lecturer may notify the Chair of his or her department in writing that he or she wishes to apply for promotion to Senior Lecturer; the notification must be made by August 1<sup>st</sup> of the year in which the evaluation will take place. The evaluation will follow the procedures used for promotion to professorial ranks, with the exception that the applicant’s professional academic activities may be evaluated in the place of scholarly achievement.

As tenure-track faculty members do, Senior Lecturers have organizational responsibility for the courses they teach. They also adhere to departmental guidelines for course content if any exist. Senior Lecturers may participate in course and curriculum development and advise students. Senior Lecturers may also

contribute to the school or department beyond teaching-related activities through campus service (including the faculty senate and its subcommittees) and academic discipline professional activities. Initial appointment as a Senior Lecturer is for a fixed term of one year. Subsequent appointments may be made for fixed terms of from one to five years.

Adjunct, Clinical, or Research prefixed to Assistant Professor, Associate Professor, or Professor: These non-tenure track appointments are usually made because of the limited duration of the mission for which the person is appointed, because of concern for the continued availability of special funding for the position, or for other valid institutional reasons. The department will determine teaching, service, and/or advising responsibilities at the time of employment offer. Responsibilities can include, but are not limited to, course assignments, service, and/or advising. Initial appointment may be for a fixed term of from one to three years. Subsequent appointments may be made for fixed terms of from one to five years.

Visiting prefixed to Assistant Professor, Associate Professor, or Professor: Persons other than regular members of the faculty may be appointed as visiting members of the faculty with rank designations, prefixed by the word "visiting," appropriate to their status in their regular employment. This type of non-tenure track appointment is for a term of not more than one year. The term of the appointment will be set forth in writing when the appointment is made, and the specification of the length of the appointment will be deemed to constitute full and timely notice of no reappointment when that term expires. One successive appointment for a term of not more than one year may be made. Appointments are made in accordance with the procedures for appointing an Instructor, except that The University of North Carolina at Pembroke has no obligation to give notice before a current term expires whether an appointment will be offered for a second term. During his term of appointment, a visiting faculty member may not be suspended or discharged except upon the grounds and by the procedures provided for all other faculty.

Initial appointments for Lecturers, Senior Lecturers, Adjunct, and Visiting faculty are for one academic year. Reappointments will depend on performance reviews and the educational needs of the department. After the initial appointment, multiyear contracts may be awarded to Lecturers, Senior Lecturers, and Adjunct faculty whose professional characteristics indicate that they will continue to serve with distinction in their appointed roles. No obligation exists on the part of The University of North Carolina at Pembroke to give any notice, other than statement of the length of appointment in the appointment contract, before a current term expires as to whether appointment will be offered for a succeeding term. The Provost and Vice Chancellor for Academic Affairs, upon the faculty member's written request made not earlier than 180 calendar days nor later than 90 calendar days before his current term expires, shall, as a matter of professional courtesy, within 20 calendar days after he receives the request give the faculty member a written statement as to whether the University would like to negotiate a new appointment with the faculty member and, if so, the proposed terms. Failure to communicate a decision shall not affect or replace the notice of non-reappointment deemed to have been made with the original appointment contract and shall not constitute a new determination of non-reappointment or an offer.

Salaries for Lecturers, Senior Lecturers, Adjunct, and Visiting faculty should be appropriate to their education, experience, other qualifications, and responsibilities within their positions. Lecturers, Senior Lecturers, Adjunct, and Visiting faculty can participate in benefits as permissible under North Carolina statutes and University policies.

Lecturers, Senior Lecturers, Adjunct, and Visiting faculty must follow, are subject to, and protected by the policies of the UNC Board of Governors and UNCP policies, including those pertaining to faculty hiring and faculty annual reviews. During the term of their employment, Lecturers, Senior Lecturers, Adjunct and Visiting faculty have the right to seek recourse through UNC Pembroke grievance processes, for redress of grievances concerning discharge, academic freedom, salary adjustment, or other conditions

of work. Lecturers, Senior Lecturers, Adjunct and Visiting faculty will follow the same campus procedures as tenure-track faculty members in doing so

New Lecturers, Senior Lecturers, Adjunct, and Visiting faculty should be oriented adequately to their responsibilities early in their first year in the position. New Lecturers, Senior Lecturers, Adjunct, and Visiting faculty are invited to attend the campus-wide “New Faculty Orientation” session held each year. Lecturers, Senior Lecturers, Adjunct and Visiting faculty report directly to the Chair of the department, who will direct mentoring and orientation activities in the department. Departments should put into place structures that provide Lecturers, Senior Lecturers Adjunct, and Visiting faculty with on-going exposure to content and pedagogical developments within their fields. Lecturers, Senior Lecturers, Adjunct, and Visiting faculty are encouraged to take advantage of the various professional development opportunities available at UNCP.

Promotion recognizes career/professional achievements and indicates confidence that the individual is capable of greater responsibilities and accomplishments. Promotion considerations for Lecturers, Senior Lecturers, Adjunct and Visiting faculty must take into account the individual’s service to the department and contributions to the University mission. Lecturers, Senior Lecturers, Adjunct and Visiting faculty will be reviewed annually following standard faculty review procedures. This evaluation will be based on teaching and service activities. See Section II, Chapter 2 of the Faculty Handbook on Faculty Evaluation Policy.

Specification of the length of the appointment in the letter of appointment constitutes full and timely notice that a new term will not be granted when that term expires. Lecturers, Senior Lecturers, Adjunct and Visiting faculty may be terminated, discharged, or suspended prior to expiration of their term of appointment according to the termination, discharge, and suspension procedures applicable to other non-tenured and/or tenured faculty.

### **Appointment of Part-Time Faculty**

The University of North Carolina at Pembroke monitors the utilization of part-time faculty to ensure that the number of full-time faculty is adequate to support the mission of the institution. The institution has adequate faculty resources to ensure the quality and integrity of its academic programs. (SACS Core Requirement 2.8). UNCP is committed to ensuring that the use of part-time faculty is appropriately limited. UNCP actively recruits and appoints qualified part-time faculty who can enrich and enhance the educational program by bringing to the classroom additional experience and areas of expertise.

It is the responsibility of the Department Chair to identify appropriate candidates for part-time faculty positions, ensure that their credentials are appropriate, arrange an interview with the appropriate Dean, make the recommendation for appointment to the Dean, provide an appropriate orientation session for the faculty member, and supervise and evaluate the faculty member. All part-time faculty must meet requirements for professional, experiential and scholarly preparation comparable to those of their full-time counterparts who teach in the same discipline.

In rare instances a candidate may appear to have outstanding professional experience or special expertise that may be considered in lieu of formal academic preparation. If after consultation between the Chair, the appropriate Dean and the Office for Academic Affairs, the candidate is deemed to be an appropriate faculty member, the department chair must prepare the justification showing how the experience or special expertise supports the position. This justification must be filed with the Office for Academic Affairs at the time of the appointment.

All first-time part-time faculty must be scheduled for an interview with the appropriate Dean. Before that meeting, the chair should forward to the Office for Academic Affairs for review the application folder of

the candidate. The Department Chair makes the appointment recommendation to the appropriate Dean. Final approval of the appointment of the candidate rests with the Office for Academic Affairs.

Each part-time faculty appointed must provide the following for the personnel folder: a completed UNCP faculty application, a current resume, three letters of professional recommendation, and official transcripts of all post-secondary study with transcripts sent directly to the Office for Academic Affairs. It is the responsibility of the Department Chair to collect these materials and provide them to the Office for Academic Affairs.

The Department Chair is responsible for conducting an orientation for the part-time faculty member, including an introduction to departmental colleagues and staff; information about relevant University policies and departmental policies such as grading procedures, attendance, etc.; curriculum information; secretarial services; learning resources, office space, etc.

The Department Chair should also make clear to the part-time faculty that students must have appropriate access to part-time faculty for conferences, questions, make-up work, etc. The part-time faculty member is expected to be available either one-half hour before or after each class and to let students know in what manner that access will be provided. Part-time faculty should be informed of meetings of their department, which they are welcome to attend as non-voting members—though there should be no requirement or expectation that they attend.

The Department Chair acts as supervisor of the part-time faculty member, providing information on all academic matters, clarification of policies and issues (such as attendance, mid-term grades, and assessment); and assistance with any problems related to curriculum and instruction. The Department Chair also evaluates each part-time faculty member annually and observes at least one class period of each new part-time faculty. Student evaluations are to be administered each semester for all part-time faculty.

With respect to their teaching responsibilities, duties of part-time faculty members are generally consistent with those of full-time faculty members. The following elements are expected. Others may be negotiated for the purposes of particular departments, programs, or courses.

- Prompt attendance at each class meeting and appropriate use of the entire class period. Should an emergency arise prohibiting the faculty member from attending a class, he/she must notify the department chair prior to the class meeting.
- Standards and expectations of students in keeping with the university setting.
- Timely and early assessment of students so that the mid-term grades, issued to all students at UNCP, are clearly related to performance. Attention to appropriate handling of midterm and final grades.
- Accessibility to students either before or after class on a regular and announced basis. The time of availability should total at least 30 minutes for each class period.
- Attention to development of student skills in computer literacy (where appropriate) and written and oral communication.
- Prompt and timely submission of all grades, reports, etc.

### **Decisions Not to Reappoint When Probationary Terms Expire**

The decision not to reappoint when a probationary term appointment as Instructor, Assistant Professor, Associate Professor, or Professor expires will be made by the Provost and Vice Chancellor for Academic Affairs after consulting with the Dean of the school or college, the Chair of the department concerned, and the Committee on Promotion and Tenure. Each such decision shall be communicated for information to the Chancellor. The decision shall be final except as it may later be reviewed in accordance with the

provisions of the section below on “Due Process before Discharge or the Imposition of Serious Sanctions for Tenure Track Faculty.”

### **Faculty Hearing Committee**

The Faculty Hearing Committee considers requests for hearings concerning discharge or the imposition of serious sanctions, non-reappointment, or termination of employment.

The Committee on Committees and Elections conducts elections for members of the Faculty Hearing Committee (see By-laws Article V. Section 2). Those eligible to vote are members of the General Faculty are eligible to vote (see UNCP Faculty Constitution, Article I, Section 1).

The Faculty Hearing Committee shall be constituted as follows:

1. The Committee shall have seven (7) members, all of whom have permanent tenure or have held permanent tenure and are participating in phased retirement.
2. No Department Chair or Assistant Chair or other administrator may serve on this Committee. At most one faculty member from a given department may serve at one time.
3. Members shall serve two-year staggered terms and may not serve more than two consecutive terms.
4. Membership on the Faculty Hearing Committee precludes service at the same time on the Promotion and Tenure Committee as well as on the Faculty Grievance Committee.

### **General Committee Procedures**

1. As soon as the election results have been reported to the Senate, the Chair of the Committee on Committees and Elections will call a meeting of the Faculty Hearing Committee for the purpose of electing a Chair of that Committee for the next academic year.
2. For a particular hearing, Committee members who hold an appointment in the faculty member’s department, who will testify as witnesses, or who have any other conflict of interest are disqualified. With the concurrence of the Executive Committee of the Senate, the Chair of the Faculty Senate will replace Committee members who are unable to serve on a case for any reason.
3. If the Chair of the Faculty Senate has any conflict of interest in the case or is absent, then the duties of the Senate Chair, relative to the case, will be assumed by the following in succession: Senate Chair Elect (if there is one), Chair of Faculty and Institutional Affairs Committee, Chair of Academic Affairs Committee.

A quorum for any meeting of the Committee is a simple majority of the total Committee membership. The Chair of the Hearing Committee will report to the Faculty Senate early in the fall semester on the number of cases heard during the previous academic year.

### **Due Process before Discharge or the Imposition of Serious Sanctions for Tenure Track Faculty**

A faculty member who is the beneficiary of institutional guarantees of tenure will enjoy protection against unjust and arbitrary application of disciplinary penalties. During the period of such guarantees, the faculty member may be discharged or suspended from employment or diminished in rank only for reasons of incompetence, neglect of duty, or misconduct of such a nature as to indicate that the individual is unfit to continue as a member of the faculty. These penalties may be imposed only in accordance with procedures prescribed in this section. For purposes of these regulations, a faculty member serving a stated term will be regarded as having tenure until the end of that term. These procedures shall not apply to non-reappointment or termination of employment.

The Provost and Vice Chancellor for Academic Affairs will send the faculty member, by registered mail (return receipt requested), a written statement of intention to discharge him or her. The statement will

include specification of the reasons for the intended discharge and notice of the faculty member's right, upon request, to a hearing by the Faculty Hearing Committee.

If, within fourteen calendar days after the faculty member receives the notice referred to above, the faculty member makes no written request for a hearing, s/he may be discharged without recourse to any institutional grievance or appellate procedure.

The Chancellor will ensure that a process is in place for a timely hearing. If the faculty member makes a timely written request for a hearing, the Chancellor will insure that the hearing is accorded before the Hearing Committee. The hearing will be on the written specifications of the reasons for the intended discharge. The Hearing Committee will accord the faculty member thirty calendar days from the time it receives her or his written request for a hearing to prepare a defense. The Hearing Committee may, upon the faculty member's written request and for good cause, extend this time by written notice to the faculty member. The Committee will make every reasonable effort to complete the hearing within ninety calendar days of receiving the faculty member's request for a hearing. (To meet this deadline, faculty are encouraged to consider scheduling hearings during the evening, weekend, or other non-class time. It is strongly recommended that several days and times be established for the hearing when scheduling the first day for the eventuality that the hearing may take two or more sessions).

The hearing will be closed to the public unless the faculty member and the Hearing Committee agree that it may be open. The faculty member will have the right to counsel, to present an argument, present the testimony of witnesses and other evidence, to confront and cross-examine adverse witnesses, and to examine all documents and other adverse demonstrative evidence. A written transcript of all proceedings shall be kept; upon request, a copy thereof shall be furnished to the faculty member at the institution's expense. The Provost, or the Provost's delegate or counsel, may participate in the hearing to present evidence, cross-examine witnesses, and make argument.

In reaching decisions on which its written recommendations to the Chancellor will be based, the Hearing Committee will consider only the evidence presented at the hearing and such written and oral arguments as the Hearing Committee, in its discretion, may allow. The campus has the burden of proof; the basis for upholding the dismissal must be clear and convincing. The Hearing Committee will make its written recommendations to the Chancellor within fourteen calendar days after its hearing or receipt of the transcript.

If the Chancellor concurs in a recommendation of the Hearing Committee that is favorable to the faculty member, the Chancellor's decision will be final. If the Chancellor either declines to accept a Hearing Committee recommendation that is favorable to the faculty member or concurs in a Hearing Committee recommendation that is unfavorable to the faculty member, the faculty member may appeal the Chancellor's decision to the Board of Trustees. This appeal shall be transmitted through the Chancellor and be addressed to the Chair of the Board of Trustees. Notice of such appeal will be filed within fourteen calendar days after the faculty member receives the Chancellor's decision. The Board of Trustees may delegate the duty of conducting a hearing to a standing or ad hoc committee of at least three members of the Board of Trustees. The Board of Trustees, or its committee, shall consider the appeal on the written transcripts of hearings held by the faculty Hearing Committee, but it may, in its discretion, hear such other evidence as it deems necessary. The full Board of Trustees will make a decision within forty-five days after the Chancellor has received the faculty member's request for an appeal to the Board of Trustees. The Board of Trustees' decision shall be final except that the faculty member may, within fourteen calendar days after receiving the Board of Trustees' decision, file a written petition for review with the Board of Governors if s/he alleges that one or more specified provisions of *The Code of the Board of Governors of the University of North Carolina* have been violated. All such petitions to the

Board of Governors will be delivered in a manner ensuring proof of delivery and are transmitted through the President of The University of North Carolina.

When a faculty member has been notified of the institution's intention to discharge her or him, the Chancellor may reassign the individual to other duties or suspend the faculty member at any time and continue the suspension until a final decision concerning discharge has been reached by the procedures prescribed herein. Suspension shall be exceptional and shall be with full pay.

**Non-Reappointment of Tenure Track Faculty Members on Probationary Term Appointments Permissible and Impermissible Grounds for Non-reappointment**

The decision whether to reappoint a faculty member when a probationary term of appointment expires may be based on any factor considered relevant to the total institutional interests, but it must consider the faculty member's demonstrated professional competence, potential for future contributions, and institutional needs and resources. These considerations may form, in whole or in part, the basis of the ultimate decision, except that a decision not to reappoint may not be based upon (1) the faculty member's exercise of rights guaranteed by either the First Amendment to the United States Constitution or Article I of the North Carolina Constitution; (2) the faculty member's race, color, sex, sexual orientation<sup>1</sup>, religion, creed, national origin, age, disability, or veteran status; or (3) personal malice.

Definition of “personal malice”: As used in *The Code*, the term “personal malice” means dislike, animosity, ill-will or hatred based on personal characteristics, traits or circumstances of an individual that are not relevant to valid University decision making. While the terms “ill-will,” “dislike,” “hatred” and “malevolence” may connote different degrees of antipathy, such distinctions make no difference in applying the fundamental rationale of the prohibitions. Any significant degree of negative feeling toward a candidate based on irrelevant personal factors, regardless of the intensity of that feeling, is an improper basis for making decisions.

**Conference with Provost and Vice Chancellor for Academic Affairs**

Within five days after receiving a written notice of non-reappointment, a faculty member may request in writing a private conference with the Provost and Vice Chancellor for Academic Affairs<sup>2</sup> to discuss the reasons for non-reappointment. This request will be granted and the conference held forthwith, within five days after receipt of the request if possible. Within five days after the conference, the Vice Chancellor will give the faculty member a simple, unelaborated written statement whether the original decision remains in effect. The Chancellor is responsible for ensuring that a system is in place that provides a timely hearing.

**Request for Review by Hearing Committee**

Within fourteen days after receiving the Provost and Vice Chancellor's statement, the faculty member may request that the Hearing Committee review the decision. This review is limited solely to determining whether the decision not to reappoint was based on any of the grounds stated to be impermissible in the section above or whether the procedure followed to reach the decision materially deviated from prescribed procedures such that doubt is cast on the integrity of the decision not to reappoint. The request for review will be written and addressed to the Chair of the Hearing Committee with a copy to the Provost and Vice Chancellor for Academic Affairs. It will specify the grounds upon which the faculty member contends that the decision was impermissibly based and each manner in which the faculty member contends that the procedure to determine whether to reappoint deviated materially from prescribed

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<sup>1</sup> Not currently governed by either North Carolina or Federal law

<sup>2</sup> If the initial decision not to reappoint is made by the Chancellor or Board of Trustees, the faculty member who is not to be reappointed may seek review of that decision in accordance with the procedure set out in Section 501 C(4) of The Code of The University of North Carolina.

procedures with a short, plain statement of the facts that he believes supports the contention. Such a request constitutes on the faculty member's part:

1. A representation that s/he can support any presented contention by factual proof.
2. An agreement that the institution may offer in rebuttal of the contention any relevant data within its possession.

The Hearing Committee will consider the request. A denial of the request finally confirms the decision. The Hearing Committee will grant a hearing if it determines that:

1. The request contains a contention that the decision was
  - (a) impermissibly based under these policies and regulations or
  - (b) reached using a procedure that deviated materially from those prescribed, casting doubt on the integrity of the decision not to reappoint; and
2. The facts suggested, if established, will support the contention.

If the request is granted, a hearing shall be held within ten days after the request is received. The faculty member shall be given at least five days' notice of the hearing.

### **Conduct of the Hearing**

The hearing will be conducted informally. Only the members of the Hearing Committee, the faculty member, the Provost and Vice Chancellor for Academic Affairs, the Department Chair, and such witnesses as may be called may attend, except that the faculty member and the Provost and Vice Chancellor may be accompanied by a person of their choosing<sup>3</sup>, which person will not actively participate in the hearing. A quorum for the hearing is a simple majority of the total Committee membership. Committee members who hold an appointment in the faculty member's department, who will testify as witnesses, or who have any other conflict of interest are disqualified. All testimony and other evidence received by the Hearing Committee must be preserved in a form that will permit its later review by the parties to the proceeding, the Chancellor, and if necessary, the Board of Governors. A professional court reporter or a similarly reliable means (such as a tape recording of good quality) should be used to enable the production of a verbatim written transcript of the hearing and properly to maintain a record of the documents received by the Hearing Committee. Any such record is a part of the personnel inquiry and must be treated with appropriate confidentiality. Only the immediate parties to the controversy, the responsible administrators and attorneys, and the members of the University governing boards, and their respective committees and staffs, are permitted access to such materials. Upon request, a copy of the transcript of the proceedings will be provided to the faculty member at the institution's expense.

The Hearing Committee may consider only such evidence as is presented at the hearing and need consider only the evidence offered that it considers relevant, fair, and reliable. All witnesses may be questioned by the Committee members, the faculty member, the Provost and Vice Chancellor for Academic Affairs, or the Department Chair, or by the representatives of the faculty member or Provost and Vice Chancellor. Except as herein provided, the conduct of the hearing is under the Hearing Committee Chair's control.

### **Hearing Procedure**

The hearing will begin with the faculty member's presentation of contentions which shall be limited to those grounds specified in the request for a hearing and supported by such proof as the faculty member desires to offer. When the faculty member has concluded this presentation, the Hearing Committee shall

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<sup>3</sup> The accompanying individual will not be an attorney unless both the Provost and faculty member agree to the inclusion of counsel.

recess to consider whether a prima facie case has been established. If the Committee determines that the contention has not been so established, it will so notify the parties to the hearing and thereupon terminate the proceedings. Such termination confirms the decision not to reappoint. If the Committee determines that rebuttal or explanation is desirable, it will so notify the parties and the hearing will proceed. The Provost and Vice Chancellor for Academic Affairs will then present in rebuttal of the faculty member's contentions, or in general support of the decision not to reappoint, such testimony or documentary proofs as the Provost desires to offer, including his or her own testimony.

At the end of such presentation, the Hearing Committee will consider the matter in executive session. The burden is upon the aggrieved faculty member to satisfy the Hearing Committee by a preponderance of the evidence that the faculty member's contentions are true.

### **Procedure after Hearing**

If the Hearing Committee determines that the faculty member's contentions have not been established by a preponderance of the evidence, it will, by a simple, unelaborated statement, so notify the faculty member, the Provost and Vice Chancellor for Academic Affairs, and the Department Chair. Such a determination confirms the decision not to reappoint. If the Hearing Committee determines that the faculty member's contentions have been satisfactorily established, it will so notify her or him, the Provost and Vice Chancellor for Academic Affairs, and the Department Chair by a written notice that will also include a recommendation for corrective action by the Provost and Vice Chancellor for Academic Affairs.

Within five days after receiving such a recommendation, the Provost and Vice Chancellor for Academic Affairs will notify the faculty member and the Chair of the Hearing Committee what modification, if any, he will make with respect to the original decision not to reappoint.

If the Provost and Vice Chancellor for Academic Affairs fails to make a recommended modification in the original decision, the Hearing Committee Chair will submit a written report to the Chancellor containing the Committee's findings and recommendation and what it considers to be appropriate action by the Chancellor to resolve the matter.

### **The Chancellor's Decision**

The Chancellor will base his or her decision on the recommendation of the Faculty Hearing Committee and the record from the Faculty Hearing Committee hearing. The Chancellor may, in his or her discretion, consult with the Faculty Hearing Committee, in person or in writing, before making a decision.

The Chancellor will notify the faculty member and relevant administrators of the Chancellor's decision in writing and shall send the notice of decision to the faculty member by registered mail (return receipt requested). The Chancellor's notice to the faculty member of the decision must inform the faculty member: (1) that the faculty member may appeal the Chancellor's decision by filing a written notice of appeal with the Board of Governors by submitting such notice to the President of The University of North Carolina by certified mail, return receipt requested, or by another means that provides proof of delivery, within fourteen (14) days after the faculty member's receipt of the Chancellor's decision, (2) that a simple written notice of appeal with a brief statement of its basis is all that is required within the fourteen-day period and, (3) that, thereafter, a detailed schedule for the submission of relevant documents will be established if such notice of appeal is received in a timely manner.

### **Appeal to the Board of Governors**

If the Board agrees to consider the appeal, it will do so on a schedule established by the President of the Board, subject to any instructions received from the committee or sub-committee of the Board that has jurisdiction of the subject matter of the appeal. If the faculty member fails to comply with the schedule,

the Board may extend the period for complying with the schedule or it may dismiss the appeal. The Board of Governors will issue its decision as expeditiously as possible.

Any request for review of the decision by the Board of Governors is intended only to assure (1) that the campus-based process or decision was not materially flawed in a manner that raises questions about whether the faculty member's contentions were fairly and reliably considered, (2) that the result reached by the Chancellor was not clearly erroneous, and (3) that the decision was not contrary to controlling law or policy. The Board of Governors will exercise jurisdiction under Section 604 D of *The Code of the Board of Governors of the University of North Carolina* in a manner that assures that primary focus will be on the integrity of campus procedures. Additional guidance regarding appeals to the Board of Governors of tenure, reappointment, and promotion decisions is found in Section 101.3.1 of the University of North Carolina Policy Manual.

The first step in any appeal to the Board of Governors will be an evaluation by the Board, through a designated subcommittee, of the faculty member's written statement of grounds for appeal to determine whether the issues sought to be raised warrant Board attention, as judged by the three basic standards set out in the Administrative Manual. If not, the Board may dismiss the appeal without further proceedings.

If the faculty member has made allegations that are sufficient to invoke the jurisdiction of the Board of Governors, and if the Board of Governors finds material errors in the campus decision, the case may be remanded to the campus for a new or supplemental grievance inquiry. The remedy available on appeal is never an award by the Board of Governors of the conferral of tenure, reappointment or promotion, absent a positive recommendation from UNC Pembroke.

#### **Termination of Faculty Employment**

The employment of any faculty member may be terminated by The University of North Carolina at Pembroke because of (1) demonstrable, bona fide institutional financial exigency, or (2) major curtailment or elimination of a teaching, research, or public service program. Financial exigency is defined as a significant decline in institutional financial resources that is brought about by decline in institutional enrollment or by other action or events that compel a reduction of the institution's current operating budget. The determination of whether a condition of financial exigency exists or whether there will be a major curtailment or elimination of a teaching, research, or public service program will be made by the Chancellor, after consulting with academic administrative officers and faculties as required by the section on "Consultation with Faculty and Administrative Officers" below. This determination is subject to concurrence by the President of The University of North Carolina and approval by the Board of Governors of The University of North Carolina. If the financial exigency or curtailment or elimination of a program is such that the institution's contractual obligation to a faculty member cannot be met, the employment of the faculty member may be terminated in accordance with the section on "Termination Procedures" below.

#### **Consultation with Faculty and Administrative Officers**

When it appears that the institution will experience an institutional financial exigency or when it is considering a major curtailment in or elimination of a teaching, research, or public service program, the Chancellor will first seek the advice and recommendations of the academic administrative officers and faculties of the departments or other units that might be affected.

#### **Termination Procedure**

In determining which faculty member's employment is to be terminated for the reasons set forth above, consideration will be given to tenure status, years of service to the institution, and other factors deemed relevant, but the primary consideration will be the maintenance of a sound and balanced educational program consistent with the functions and responsibilities of the institution.

When a faculty member's employment is to be terminated because of financial exigency, the institution will make every reasonable effort, consistent with the need to maintain sound educational programs and within the limits of available resources, to give the same notice as set forth in Section 605 B(1) of *The Code of The Board of Governors of the University of North Carolina*. When a faculty member's employment is to be terminated because of major curtailment or elimination of a teaching, research, or public service program and such curtailment or elimination of program is not founded upon financial exigency, the faculty member will be given timely notice as set forth in Section 605 B (1) of *The Code of the Board of Governors of the University of North Carolina*.

The Chancellor or his delegate will send the faculty member whose employment is to be terminated a written statement of this fact by registered mail (return receipt requested). This notice will include a statement of the conditions requiring termination of the faculty member's employment; a general description of the procedures followed in making the decision; a disclosure of pertinent financial or other data upon which the decision was based; a statement of the faculty member's right, upon written request, to a reconsideration of the decision by the Hearing Committee if the faculty member alleges that the decision to terminate him rather than another faculty member was arbitrary or capricious; and a copy of this procedure on termination of employment.

If, within ten days after the faculty member receives the notice required by the section above on "Termination Procedures," he makes no written request for a reconsideration hearing, his employment will be terminated at the date specified in the notice given pursuant to section above on "Termination Procedures," and without recourse to any institutional grievance or appellate procedure.

### **Reconsideration Hearing**

Within ten days after receiving the notice required by section above on "Termination Procedures," the faculty member may request by registered mail (return receipt requested) a reconsideration of the decision to terminate his employment if he alleges that the decision was arbitrary or capricious. The request shall be submitted to the Chancellor. It shall specify the grounds upon which the faculty member contends that the decision to terminate his employment was arbitrary or capricious and include a short, plain statement of facts that the faculty member believes supports the contention. Submission of such a request shall constitute on the faculty member's part:

- 1) A representation that he can support his contention by factual proof.
- 2) An agreement that the institution may offer in rebuttal of his contention whatever relevant data it may have.

If the faculty member whose employment is to be terminated makes a timely written request for reconsideration of the decision, the Chancellor or his delegate shall insure that the hearing is accorded before the Faculty Hearing Committee. The Hearing Committee's reconsideration shall be limited solely to a determination of the contentions made in the faculty member's request for reconsideration hearing shall be held promptly, but the Hearing Committee shall accord the faculty member five days from the time it receives the request for a hearing to prepare for it.

The hearing will be conducted informally and will be closed to the public. The faculty member and the Chancellor will have the right to have legal counsel present but counsel may not actively participate in the hearing. The faculty member and the Chancellor will have the right to present the testimony of witnesses and other evidence, to confront and cross-examine adverse witnesses, and to examine all documents and other adverse demonstrative evidence. To the extent possible without violating the rights of any other employees to have UNCP maintain the confidentiality of certain of said employees' personnel records, the faculty member and the Hearing Committee will be given access, upon request, to The University of North Carolina at Pembroke documents that were used in making the decision to terminate the faculty

member after the decision was made that some faculty members' employment must be terminated. At the faculty member's request, a transcript of the proceedings shall be given the faculty member at the institution's expense.

The Hearing Committee may consider only such evidence as is presented at the hearing and need consider only the evidence offered that it considers relevant, fair and reliable. Committee members may question all witnesses. The Hearing Committee may consider only whether the selection of the faculty member for termination, with regard to other faculty members, was arbitrary or capricious. Its jurisdiction does not extend to a reconsideration of whether a financial exigency exists or a teaching, research, or public service program should be curtailed or eliminated. Except as herein provided, the conduct of the hearing is under the control of the Hearing Committee chair.

A quorum for purposes of the hearing is a simple majority of the total membership of the Hearing Committee. No one shall serve on the Hearing Committee who holds an appointment in the faculty member's department, who participated directly in the decision to terminate him, or who has any other substantial conflict of interest.

The hearing will begin with the faculty member's presentation of contentions, limited to those grounds specified in the request for a hearing and supported by such proof as he desires to offer. The Chancellor or his representative may then present in rebuttal of the faculty member's contentions, or in general support of the decision to terminate the faculty member's employment, such testimonial or documentary proofs as he desires to offer, including his own testimony.

After opportunity for cross-examination by both parties, the Hearing Committee shall consider the matter in executive session and shall make its written recommendations to the Chancellor within ten days after the hearing concludes.

#### **Procedure after Hearing**

If the Hearing Committee determines that the contentions of the faculty member have not been established, it shall, by a simple, unelaborated statement, so notify the faculty member and the Chancellor. The faculty member may then appeal the decision to terminate his employment to the UNCP Board of Trustees pursuant to Section 605 of *The Code of the Board of Governors of the University of North Carolina*.

If the Hearing Committee determines that the faculty member's contentions have been satisfactorily established, it shall notify the faculty member and the Chancellor by written notices.

Within ten days after receiving the written notice that concludes that the faculty member's contentions have been satisfactorily established, the Chancellor shall send written notice to the faculty member and the chair of the Hearing Committee what modifications, if any, the Chancellor will make with respect to the original decision to terminate the faculty member's employment. If the Chancellor fails to reverse the original decision, the faculty member may appeal the termination to the UNCP Board of Trustees in the manner provided by Section 605 of *The Code of the Board of Governors of the University of North Carolina*. If the Chancellor concurs in the conclusion of the Hearing Committee that is favorable to the faculty member, the Chancellor's decision is final.

#### **Time Limits on Appeals**

A grievant dissatisfied with the Chancellor's disposition of his grievance must file written notice of appeal with the UNCP Board of Trustees, by submitting such notice to the Chancellor, within 10 days after the grievant's receipt of the Chancellor's decision by registered mail (return receipt requested). If the Board of Trustees agrees to consider the appeal, it will do so on a schedule established by the Chancellor,

subject to any instructions received from the committee of the Board of Trustees that has jurisdiction of the subject matter of the grievance. The Board of Trustees will issue its decision within 90 days after receipt of the notice of appeal; provided, that if the grievant fails to comply with the schedule established for perfecting and processing the appeal and thereby precludes a decision within 90 days, the Board of Trustees in its discretion may extend the period for decision or it may dismiss the appeal. (In each instance used, the term “days” shall mean consecutive calendar days.).

### **Institutional Assistance to Employees Who Are Terminated**

The institution, when requested in writing by an employee whose employment has been terminated, will give him reasonable assistance in finding other employment. For two years after the effective termination date of a faculty member's contract for any of the reasons specified above, the institution will not replace the faculty member without first offering the position to the person whose employment was terminated. The offer will be made by registered mail (return receipt requested) to the last address given by the faculty member. The faculty member will be given thirty calendar days after the notice is received to accept or reject the offer.

### **Effective Date of Policies on Appointment to Faculty Ranks, Non-Reappointment, and Retirement**

These policies and regulations supersede all other institutional documents governing the matters covered herein and they shall become operative (with respect to all existing as well as future faculty appointments) on the effective date, which shall be the date 28 calendar days after the day on which these policies and regulations have been approved by the President and the Board of Governors of The University of North Carolina.

Faculty members who, upon the effective date, have been serving at the rank of Instructor for seven or more years, shall be appointed on July 1, 1976, to a fixed term rank as authorized in the section on “Appointment to Faculty Rank,” promoted to the two-year term as Assistant Professor, recommended for permanent tenure at the rank of Assistant Professor, or offered a terminal appointment of one academic year. This decision shall be made in accordance with the procedure described in the section on “Initiation, Review, and Approval of Appointments, Promotions, and Re-Appointments.”

Faculty members without permanent tenure who, upon the effective date, have been serving at the rank of Assistant Professor for fewer than two years shall be appointed on July 1, 1976, to the second two-year term as Assistant Professor unless they are not reappointed in accordance with the section on “Appointment to Faculty Rank.” Faculty members without permanent tenure who, upon the effective date, have been serving at the rank of assistant professor for two or more years shall be appointed on July 1, 1976, to the third two-year term as assistant professor, recommended for permanent tenure at the rank of assistant professor, promoted to associate professor with or without a recommendation for permanent tenure, or offered a terminal appointment of one academic year. This decision shall be made in accordance with the procedure described in the section on “Initiation, Review, and Approval of Appointments, Promotions, and Re-Appointments.”

Faculty members without permanent tenure who, upon the effective date, have been serving at the rank of associate professor for fewer than two years shall be appointed on July 1, 1976, to the first three-year term as associate professor unless they are not reappointed in accordance with the section on “Appointment to Faculty Rank.” Faculty members without permanent tenure who, upon the effective date, have been serving at the rank of associate professor for two or more years shall be appointed on July 1, 1976, to the second three-year term as associate professor, recommended for permanent tenure at the rank of associate professor, promoted to professor, or offered a terminal appointment of one academic year. This decision shall be made in accordance with the procedure described in the section on “Initiation, Review, and Approval of Appointments, Promotions, and Re-Appointments.”

Faculty members who, upon the effective date, have been serving at the rank of professor without permanent tenure shall be appointed on July 1, 1976, to the three-year term as professor, recommended for permanent tenure, or offered a terminal appointment of one academic year. This decision shall be made in accordance with the procedure described in the section on “Initiation, Review, and Approval of Appointments, Promotions, and Re-Appointments.”

The provisions of the section on “Non-Reappointment of Tenure Track Faculty on Probationary Term Appointments” shall apply, not only with respect to those to whom notices of non-reappointment are given after the effective date, but also with respect to those to whom such notices have been given within the period of 60 calendar days next preceding the effective date. Instructors, Assistant Professors, Associate Professors, and Professors to whom notices of non-reappointment have been given within the period of 60 calendar days next preceding the effective date shall have 20 calendar days after the effective date within which to initiate the procedures for review provided in the section on “Non-Reappointment of Tenure Track Faculty on Probationary Term Appointments.”

The provisions of the section on “Retirement of Faculty” shall apply with respect to all those who, upon the effective date, have attained normal retirement age and are in continued terms of employment, as well as to those who attain normal retirement age after the effective date.

Revision of the section on “Termination of Faculty Employment” shall be effective on July 1, 1982, upon approval of the President of The University of North Carolina acting on behalf of the Board of Governors as provided in a resolution of the Board of Governors adopted March 12, 1982.

The regulations cited above were approved by the Board of Governors of The University of North Carolina and became effective on February 13, 1976.

### **Leaves of Absence and Other Adjustments of Employment Obligations**

#### **Serious Illness and Disability Leave Policy**

There may be times when a faculty member finds it necessary to be absent full-time or part-time for an extended period. In such cases, leave with pay will be considered (for up to one semester) subject to certain conditions and procedures, including the completion of a Serious Illness and Disability Leave for Faculty Form, which available at the website for the Office of Human Resources. More information on eligibility, procedure for filing a leave of absence, and considerations for a leave of absence for serious illness or disability is available at the University Policies and Regulations website at <http://www.uncp.edu/about-uncp/administration/departments/finance-and-administration/policies-and-procedures/human-resources/family-and-medical-leave-policy-spa-and-epa-employees>.

#### **Leaves of Absence**

Leaves of absence for one or more semesters without salary may be arranged with a faculty member for the purpose of advanced study, research, or public service without prejudice to future promotions in rank provided the period of absence is reasonable and does not work undue hardship upon the University.

Leaves of absence without compensation normally should not exceed two academic years. For faculty members who do not have tenure, a period of leave will not count as a part of the probationary period. Thus the tenure decision will be postponed for a period equal to the length of the leave. The final responsibility for recommending to the Board of Trustees those to be granted leaves will rest with the Chancellor.

If the leave is for an International Fellowship, the following additional stipulations apply: (1) the faculty member must have been at UNCP for at least three academic years prior to its commencement, (2) faculty member must be tenured or on a successful tenure track, (3) the leave must be approved by the

Department Chair, Dean, and Provost, and (4) UNCP will not be responsible for any travel-related expenses.

### **Educational Leave**

Faculty members approved for educational leave may petition for their retirement and hospitalization insurance to be continued while on leave. This continuation requires approval by the Teachers' and State Employees' Retirement System and The University of North Carolina at Pembroke. If you so desire, notify the University Human Resources Office in writing after your leave has been approved.

### **Military Service Leave**

The University of North Carolina System has developed policies covering the rights of employees who are on military duty. Those policies are consistent with the Uniformed Services Employment and Reemployment Rights Act of 1994. In general, employees who have been on military duty are entitled to reemployment at the termination of such service, provided the employee reports or applies for reemployment within certain time limits specified by policy, based on length of service. In addition, such employees are entitled to certain other benefits specified in the policy, including retirement plan participation, vacation and sick leave (if eligible), coverage under the State health plan, and others. The details of the provisions of these policies are too extensive to list here, but are available in the UNCP Human Resources Office. Any faculty member who may be engaged in military service should check with the Human Resources Office to get the details of these arrangements. See also the UNC policy at <http://www.northcarolina.edu/policy/index.php>

### **Vacation Leave**

Faculty members are not granted vacation leave at any time within a scholastic session during which their teaching schedule or other duties incident to their employment may require their services. Holidays and vacation periods normally take care of such leave. Twelve-month employees are entitled to vacation leave as provided under the laws of the State.

### **Absences from Class**

Faculty members who, because of sudden illness or other emergency, cannot meet a scheduled class or laboratory period must notify the Chair of the Department prior to the beginning of the class. The Chair should then arrange for satisfactory coverage of the class. A "Class Irregularity Report" must be filed with the Department Chair within 48 hours of missed class. <http://www.uncp.edu/about-uncp/administration/departments/academic-affairs/forms>.

All teaching faculty who attend professional meetings must make satisfactory provisions for their classes through the department chair. Provisions for covering a class should include a meaningful class experience, preferably one conducted by a departmental colleague. The "Professor Class Absence Report" form is found at <http://www.uncp.edu/about-uncp/administration/departments/academic-affairs/forms>.

### **Retirement**

Each member of the faculty may retire in accordance with the provisions of Chapter 135 of the North Carolina General Statutes ("Retirement System of Teachers and State Employees").

The University of North Carolina provides a phased retirement program, under which faculty who qualify may elect to retire and continue to maintain faculty responsibilities on a half-time schedule. Details are negotiated on an individual basis. Information on the Phased Retirement Program is available at <http://www.uncp.edu/about-uncp/administration/policies-and-regulations/all-policies/pol-056501-phased-retirement-program-policy>.

The following recommendations honor retiring faculty with or without emeritus designation:

1. The Chancellor will present the current issue of the Yearbook to each retiring faculty member at the end of each academic year.
2. Each retired faculty member will continue to have access to the Bookstore, Library, and Gymnasium during free access periods. Retired faculty may retain a computer account upon notification to the Division of Information Technology office.
3. These recommendations are retroactive where appropriate.
4. All faculty who have retired from UNCP are eligible to receive a free parking permit for any faculty area on campus. "Retired faculty" is interpreted to mean any faculty member who has held faculty rank and who has retired from UNCP. The permit is non-transferable between individuals, but may be transferred from one vehicle to another owned by the same faculty member. Each permit will be numbered and will show no expiration date.
5. All retirees from the University who have held academic rank (included those who have moved to phased retirement) are considered de facto members of the Retired Faculty Club. The category of Associate Member comprises those faculty not yet retired who have served at least 25 years at UNC Pembroke as well as those retirees not current on their \$20.00 annual dues. Associate Members and their guests are invited to attend the annual dinner sponsored by the Chancellor in honor of retired faculty but are not eligible to hold office in the Club. The Retired Faculty Club is especially interested in assisting UNCP students who wish to study abroad.

### **Resignations of Faculty Members**

After a contract has been signed for the incoming academic year, the contract should be broken only by mutual consent of the professor and the University. It is the policy of the Board of Trustees that any member of the faculty holding a full professorship or an associate professorship should also give the administration at least 90 days' notice prior to the beginning of the academic year. A faculty member shall give prompt written notice of his/her resignation with its effective date to the Chancellor and to the Provost and Vice Chancellor for Academic Affairs. When possible, the faculty member should give at least 90 days' notice of his resignation.

### **Faculty Grievance Procedure**

The faculty grievance procedure defines the framework for the consideration and satisfactory resolution of grievances within the University brought by faculty members who seek redress concerning employment related matters. The function of the grievance procedure is to attempt to reach a consensual resolution of the dispute and, if that fails, to determine whether the contested decision was materially flawed in violation of applicable policies, standards, or procedures. The grievance process is not intended to second-guess the professional judgment of officers and colleagues responsible for making administrative decisions.

The University of North Carolina at Pembroke has implemented a two-tier grievance process. The first step is participation in mediation if both parties consent to mediate the matter. If an agreement is not reached during mediation or the parties choose not to mediate the matter, the grievance will be forwarded to the Faculty Grievance Committee for consideration by its established process and procedure.

### **Faculty Grievance Committee**

Any faculty member with a cause for grievance in any matter related to a faculty member's employment status and institutional relationships within UNCP [other than suspension, discharge, no-reappointment (including denial of permanent tenure) or termination which are under the jurisdiction of the Faculty Hearing Committee] may submit a petition for redress to the Faculty Grievance Committee. The Faculty Grievance Committee is authorized to hear and advise with respect to the adjustment of grievances of members of the faculty. The power of the Committee is solely to hear representations by the persons

involved in the grievance, to facilitate voluntary adjustments by the parties, and when appropriate, to make recommendations concerning adjustments.

The Committee on Committees and Elections of the Faculty Senate conducts an at-large election for members of the Faculty Grievance Committee after the completion of the Faculty Hearing Committee election. (See By-laws Article V. Section 2). Those eligible to vote are members of the General Faculty. (See UNCP Faculty Constitution, Article I, Section 1). Faculty will have as many votes as there will be vacancies on the Committee at the start of the next academic year. The Faculty Grievance Committee will be constituted as follows:

- There will be five (5) committee members.
- Members will serve staggered two-year terms and may not serve more than two consecutive terms.
- The Committee will have representatives of each professorial rank [Assistant Professor, Associate Professor, and Professor].
- Every effort will be made by the Committee on Committees and Elections to ensure an appropriate diversity of gender, race, and division/departmental balance
- Members will be selected from candidates chosen on at least 20% of the ballots cast.

The following restrictions will apply to committee membership:

- No Department Chair or Assistant Chair or other administrator shall serve on the Committee.
- No more than one member from any department may serve on the Committee at one time.
- A member of the Committee shall not serve concurrently on the Committee on Promotion and Tenure or the Faculty Hearing Committee.

The following procedures will be observed:

- As soon as the election results have been reported to the Senate, the Chair of the Committee on Committees and Elections will call a meeting of the Faculty Grievance Committee for the purpose of electing a Chair of that Committee for the next Academic Year.
- For a particular hearing, Committee members who hold an appointment in the faculty member's department, who will testify as witnesses, or who have any other conflict of interest are disqualified. With the concurrence of the Executive Committee of the Senate, the Chair of the Faculty Senate will replace Committee members who are unable to serve on a case for any reason.
- If the Chair of the Faculty Senate has any conflict of interest in the case or is absent, then the duties of the Senate Chair, relative to the case, will be assumed by the following in succession: Senate Chair-Elect (if there is one), Chair of Faculty and Institutional Affairs Committee, Chair of Academic Affairs Committee.
- A quorum for any meeting of the Committee is a simple majority of the total Committee membership.
- The Chair of the Grievance Committee will report to the Faculty Senate early in the fall semester on the number of cases heard during the previous academic year.

### **Initiating Actions under the Faculty Grievance Procedure**

A petition for redress of grievance should be submitted to the Chair of the Faculty Grievance Committee with a copy to the respondent (the person against whom the grievance is filed). The petition should be submitted promptly after the occurrence of the problem causing the grievance. The Committee reserves the right to delay action on the petition until the next semester if there is insufficient time for a complete review. If the problem occurs during the summer session, the petition should be submitted at the beginning of the fall semester.

The petition will set forth in objective terms: 1) the nature of the grievance and against whom the grievance is directed; 2) the issues or grounds upon which the grievance is based and which the faculty member feels need resolution; and 3) any other information that the petitioner considers pertinent to this case. The Committee will decide whether the facts merit a detailed investigation or detailed consideration of the petition. The burden of proof rests upon the faculty member to establish the validity of the contention by a preponderance of the evidence.

### **Procedure for Review**

When a petition is submitted, the Chair may designate a trained mediator who will attempt to settle the grievance if the dispute appears to be amenable to such an approach and if the parties to the dispute express their willingness to cooperate with such an effort. Neither party is obliged to engage in mediation; it is a consensual undertaking.

### **Mediation of Grievance**

Mediation is a procedure in which disputing parties enlist the assistance of a neutral party to help them in achieving a voluntary, bilateral agreement that finally and definitively resolves all or portions of their dispute without resorting to adversarial procedures such as grievance hearings, administrative hearings or litigation. Any such mediated agreement that the parties are able to negotiate will be embodied in a written agreement.

The appropriate functions of a mediator are to assist the parties in defining, clarifying, communicating about, and ascertaining the substantiality and relevance of the issues that appear to divide the parties and to aid the parties in generating, considering, and communicating with each other about possible bases for resolving the dispute. UNC Pembroke requires that mediation is a prerequisite to access to any formal faculty grievance process only if both parties consent to mediation. This does not require that parties reach a mediated agreement. The mediator can assess (evaluate) the value of continuing the mediation process (in terms of the likelihood of reaching a settlement in a reasonable period of time) and can terminate the process if he/she determines that the parties are not amenable to a settlement. Upon such a termination of the process by the mediator, the formal grievance committee review process will begin.

Mediators may be trained members of the faculty or staff, outside mediators from the community, or mediators from other campuses within the University. UNCP will provide a list of trained/certified mediators to involved parties. Mediators may not be members of the Faculty Grievance Committee. The mediator selected must be agreed upon by written consent of both parties prior to mediation session(s). In all cases, the selected mediator must have successfully completed formal mediation training substantially equivalent to that required for certification by the North Carolina Administrative Office of the Courts or to have been formally trained in mediation specifically designed for use in a university setting.

Attorneys may be present at any or all mediation sessions. However, attorney involvement is limited to discussions with his/her client and attorneys are prohibited from participating directly in the mediation dialogue. Should mediation fail, parties involved will not be held accountable for the failure of the process to reach an agreement, nor will any party be required to pursue mediation off-campus. The mediator will not produce a record of a failed mediation process other than an unelaborated written statement (i.e., that the mediation was attempted, but settlement was not reached) to the Chair of the Faculty Grievance Committee who will then initiate the formal grievance process.

The mediator is prohibited from being called as a witness in any subsequent (formal or informal) proceedings. Nothing done or said by either party during a mediation process will be referred to or used against a party in any subsequent proceeding.

A successful outcome to a mediation will result in a document signed by all parties involved, the mediator, the Chair of the Faculty Grievance Committee, and the Office for Academic Affairs. If the settlement requires action by any administrative division of UNCP other than the Office for Academic Affairs, the Chancellor or Vice Chancellor of such other division(s) must also sign the settlement agreement for it to be effective. The document must include specific remedies agreed upon, time for remedies to be implemented/available, etc. The mediator is responsible for ensuring this document is complete and delivered to all parties within 10 working days of the last mediation session. Records of mediations are to be kept on file in the Office for Academic Affairs for a minimum of five years.

### **Formal Grievance Procedure**

If, within eleven working days of the petition being filed, all parties involved have not commenced mediation or if the mediator reports that mediation has been attempted and failed, the Faculty Grievance Committee will convene for initial review of the content of the petition. The Faculty Grievance Committee will then initiate consideration of the merits of the grievance petition within six working days in the manner described below.

The Committee will hold preliminary discussions with each party to the grievance in private for the purpose of determining the exact nature of and basis for the grievance. In order to prevail in the grievance process, a faculty member must establish that the faculty member experienced a remediable injury attributable to the alleged violation of a right or privilege based on federal or state law, university policies or regulations, or commonly shared understandings within the academic community about the rights, privileges and responsibilities attending university employment.

If, following these discussions and an examination of any written materials each party may wish to present, at least two members of the Committee believe that, assuming the truth of the information asserted in the petition, a valid grievance within the Committee's jurisdiction has been presented and justifies a hearing, a formal hearing will be convened. A petition properly is dismissed if the grievant fails to allege any injury that would entitle the faculty member to relief in accordance with stated standards. Dismissal is also required if the petition addresses a problem that is not within the Committee's jurisdiction. If no formal hearing is deemed appropriate, the Committee shall dismiss the grievance and no formal hearing shall be conducted and the Committee shall communicate that determination to all parties to the grievance. Any determination of that nature shall be set forth in writing and shall affirm the specific bases for the decision.

If a formal hearing is deemed appropriate, the Committee shall so inform all parties and give them twenty working days to prepare material and testimony. Any witnesses shall be identified to the Committee at least five working days prior to the initiation of the hearing.

The Chair of the Grievance Committee will conduct the hearing with the Committee members and all parties to the grievance present. The hearing will be conducted in private, and witnesses shall not be present other than for purpose of giving testimony. The faculty member is to present evidence in support of the faculty member's contentions and the person charged with wrongdoing is to be given an opportunity to respond

The Committee is to maintain a complete record of all testimony and other evidence received so that a verbatim transcript of the testimony and other evidence may be created (a good quality tape recording of the proceeding is an acceptable method of keeping a record of testimony along with maintenance of all

documents and other tangible evidence presented). An official taped record of the hearing shall be maintained by an appointed member of the Committee and shall be available to the parties, administrators, committees and their respective staffs that are involved. The record is otherwise to be considered confidential and shall be kept in a manner consistent with appropriate privacy acts. . Only the evidence so compiled is to form the basis for committee conclusions about the case and any resulting advice to the responsible administrator and the Chancellor. The burden is on the grievant to establish by a preponderance of the evidence that the faculty member has experienced an injury that would entitle the faculty member to relief in accordance with the standard set out in paragraph herein above.

Once the hearing is concluded, the Committee has a period of eleven working days to deliberate and formulate its recommendations.

### **Procedure after the Hearing**

If the Committee determines that the faculty member's contention has not been established by a preponderance of the evidence, it shall, by a simple, unelaborated statement, so notify all parties to the grievance.

If the Committee determines that the faculty member's contention has been established, it shall so notify in writing all parties to the grievance and the department chair, dean or other administrative official most directly empowered to take corrective action. The written notice shall also include a recommendation for adjustment in favor of the aggrieved faculty member. Within six working days after receiving such a recommendation, the department chair, dean or administrative official (normally the Provost and Vice Chancellor for Academic Affairs) shall notify the faculty member and the Chair of the Grievance Committee as to what action will be taken with respect to the Committee's recommendation and by what date such action will be initiated.

If the Department Chair, Dean, or the Provost and Vice Chancellor for Academic Affairs fail to make such notification or if they fail to act upon the Committee's recommendations within a reasonable time, a written report containing the Committee's findings and recommendations will be submitted to the Chancellor. The grievant shall also have the right to appeal the Committee's decision by notifying the Chancellor in writing within ten calendar days after receipt of the Committee's decision. The Chancellor shall base his or her decision on the recommendation of the Faculty Grievance Committee and the record from the Faculty Grievance Committee hearing. The Chancellor may, in his or her discretion, consult with the Faculty Grievance Committee before making a decision. The Chancellor will issue a decision within six working days of receipt of the Committee's report or written notice of appeal by the grievant. The Chancellor's decision on the grievance will be mailed to the grievant by registered mail, return receipt requested. The Chancellor shall notify the member and the respondent administrator in writing of the Chancellor's decision. The notification shall include a notice of appeal rights, if any, and if the decision can be appealed, it shall contain the information specified below.

A grievant dissatisfied with the Chancellor's disposition of his or her grievance may appeal to the UNCP Board of Trustees under the provisions of Section 607 of *The Code of the Board of Governors of the University of North Carolina* depending on the subject matter of the grievance.

### **Appeal to the Board of Trustees**

The following decisions may be appealed: If the Faculty Grievance Committee did not advise that an adjustment in favor of the grievant was appropriate, then the decision of the Chancellor is final and may not be appealed. If neither the relevant administrative official nor the Chancellor makes an adjustment that is advised by the Faculty Grievance Committee in favor of the aggrieved faculty member, then the faculty member may appeal to the Board of Trustees of The University of North Carolina at Pembroke. The decision of the UNCP Board of Trustees is final.

The Board of Trustees may delegate to a designated committee the authority to make procedural decisions and to make final decisions on behalf of the board concerning appeals of faculty grievances submitted pursuant to section 607 of *The Code of the Board of Governors of the University of North Carolina*, Timeline for Appeals.

### **Timeline for Appeals**

A grievant who seeks to appeal the Chancellor's disposition of his grievance must file written notice of appeal with the UNCP Board of Trustees (the "Board"), by submitting such notice to the Chancellor, with adequate evidence of delivery, within 10 working days after the grievant's receipt of the Chancellor's decision. The notice will contain a brief statement of the basis for the appeal. If the Board agrees to consider the appeal, it will do so on a schedule established by the Chancellor, subject to any instructions received from the Board or from a committee of the Board that has jurisdiction over the subject matter of the grievance. The Board will issue its decision as expeditiously as is practical. The Board shall dismiss any request for an appeal of any decision by the Chancellor that was final pursuant to this policy. If the grievant fails to comply with the schedule established for perfecting and processing the appeal, the Board in its discretion may extend the time for compliance or it may dismiss the appeal.

If the Chancellor's decision may be appealed, the Chancellor's notice of the disposition of a grievant's case must inform the grievant: (1) of the time limit within which the grievant may file a petition for review by the Board of Trustees, (2) that a written notice of appeal containing a brief statement of the basis for appeal is required with the ten-day period and, (3) that, after notice of appeal is received in a timely manner, a detailed schedule for the submission of relevant documents will be established. All such notices of decision are to be conveyed to the grievant by a method that produces adequate evidence of delivery.

**Standard of Review:** In order to prevail before the Board of Trustees, the faculty member must demonstrate that the Chancellor's decision was clearly erroneous, that it violated applicable federal or state law or university policies or regulations, or that the process used in deciding the grievance was materially flawed

### **Graduate Faculty Status**

Faculty assigned responsibilities in the graduate programs hold appointments, as described in the Faculty Handbook, in one of the academic departments of the University. Individual departments, in conjunction with the Office of Academic Affairs, are responsible for the selection and nomination of the faculty. Evaluation of all faculty follows the model detailed in the Faculty Handbook. Graduate faculty are evaluated as members of the departments in which they hold appointments.

To be considered for graduate faculty status, a *Nomination for Graduate Faculty Status Form* must be submitted to the School of Graduate Studies prior to the start of the semester in which the faculty member anticipates teaching a graduate course and/or serving as a thesis advisor or member of a thesis committee. (Forms are available from the Graduate Office.) The Graduate Council will consider the nomination at its next regularly scheduled meeting.

There are four categories of graduate faculty status, three of which may be granted by the Graduate Council: Graduate Faculty, Adjunct Graduate Faculty, and Professional Affiliate. Interim appointments require the approval of the Program Area Coordinator and the Dean of the School of Graduate Studies, and the Provost. The eligibility requirements for each category follow.

Graduate Faculty status is approved for tenured/tenure track members of The University of North Carolina at Pembroke faculty who meet the criteria listed below. Graduate faculty may teach graduate courses and chair thesis committees. Appointments are subject to review every five years.

Adjunct Graduate Faculty status is approved for non-tenure track faculty who meet the criteria listed below, and who may be utilized to teach specific graduate courses (related to their area of expertise) on a recurring basis. Adjunct graduate faculty may not chair thesis committees. Appointments are subject to review every three years.

Interim Graduate Faculty status is approved for faculty who, in unusual circumstances, are assigned graduate teaching responsibilities between meetings of the Graduate Council. Faculty granted this status may only teach specific courses directly related to their area of expertise. Any interim appointments will be made on a semester-to-semester basis and will be considered at the next regularly scheduled meeting of the Graduate Council.

#### Eligibility Criteria for Graduate Faculty Status

- An earned doctorate (or its equivalent) appropriate for the academic field.
- A record of experience in the field of study.
- Licensure (if applicable) in the field of specialization.
- The endorsement of the appropriate program director
- Recommendation of the department chair and/or dean
- Approval of the Graduate Council
- Documented evidence of engagement in scholarly activities among the following:
  - grant activity
  - publications
  - fellowships
  - presentations
  - professional consultations
  - leadership in professional organizations/learned societies

#### **Professional Affiliate Graduate Faculty**

Status approved for professionals who do not have the terminal degree in their field, but hold a Master's degree and have demonstrated exceptional expertise in the discipline. In unusual cases, an individual who has a record of exceptional scholarly or creative activity, or professional experience, may be eligible for consideration. Professional Affiliates may teach in applied areas and/or participate as content experts in graduate student research activities. Professional Affiliate Graduate Faculty may not chair thesis committees. The term of Professional Affiliates may not exceed two years but may be renewed.

#### **Renewal of Graduate Faculty Status**

Appointments to the three categories of graduate faculty status (graduate faculty, adjunct graduate faculty, and professional affiliate graduate faculty) are extended periods of time and subject to review for renewal. Criteria for the recommendation of renewal of graduate faculty status are the same as for initial appointment as listed above. By March 1 of each year, Department Chairs or the Academic Dean will be provided with a list of graduate faculty in their respective departments whose graduate faculty appointments are subject to review/renewal and a copy of the renewal criteria. The Department Chair (or Dean) and Program Coordinators will be asked to verify the continuing eligibility of the faculty members on their list by March 31. The recommendations for renewal will be compiled by the School of Graduate Studies and presented to the Graduate Council at the April meeting. A letter of notification will be sent to each graduate faculty member and copied to the respective Department Chair and Program Coordinator.

### **Honors Faculty Status**

The status of “University Honors Faculty” is reserved for tenured/tenure track members of faculty who meet and exceed the criteria for consideration listed below. Honors faculty are eligible to teach Honors courses which are scheduled through the University Honors College. Individual University Honors Faculty appointments are subject to review by the University Honors Council every five years.

### **Honors Faculty Appointment Criteria**

1. A minimum of two years teaching experience at UNCP.
2. Exceptional teaching performance at the undergraduate level as demonstrated by favorable student evaluation of instruction (both quantitative and qualitative) and positive annual faculty review.
3. An earned doctorate (or its equivalent) appropriate for the academic field.
4. A record of experience in the field of study as demonstrated by post-graduate study, professional experience, scholarship in the discipline, and service to the academic discipline.
5. Documented evidence of recent/current scholarly engagement and production of scholarly work in activities including but not limited to:
  - a) grants writing
  - b) peer reviewed publications
  - c) academic and/or administrative fellowships
  - d) presentations to learned societies and organizations
  - e) professional consultations
  - f) leadership in professional organizations/learned societies
6. Approval/recommendation of the Department Chair, the college/school Dean, the Dean of the Honors College, the Provost and Vice Chancellor for Academic Affairs, and the University Honors Council.

The Honors Faculty Nomination Form is available at the website for the University Honors College at <http://www.uncp.edu/academics/colleges-schools-departments/colleges-schools/honors-college-esther-g-maynor>.

### **Statement on Licensure of Methods Faculty**

NC State Board of Education policy requires that all methods faculty be licensed. As defined by State Standards the term “methods faculty” refers to “anyone who teaches a methods course whose primary focus is preparation for assuming certificated positions in the public schools”; the term “methods course” refers to “a course in which the primary focus is: (a) techniques, procedures, or organization for teaching; or (b) a supervised practicum for teaching.”

### **Conflicts of Interest and Commitment**

The University of North Carolina at Pembroke's Policies and Guidelines Concerning Conflicts of Commitment and Interest Affecting University Employment document supports the policies and guidelines adopted by the UNC Board of Governors on June 15 and June 21, 2012. The University of North Carolina at Pembroke (UNC Pembroke) subscribes to the statement of *The Code of The University of North Carolina* indicating that the basic mission of the faculty is "the transmission and advancement of knowledge and understanding." University faculty engage in a number of activities within the academy related to their teaching, research, and service. In addition, because of the nature of their credentials and expertise, faculty members and EPA non-faculty employees also have opportunities to utilize their skills and knowledge in settings and activities outside the university. In most instances, this independence and flexibility work to the advantage and benefit of the EPA employee, the institution, and the community. The same opportunities can become problems, however, when a conflict of commitment or a conflict of interest arises.

A conflict of commitment arises when a faculty member's activities outside the University interfere with the performance of responsibilities within the institution. This conflict of commitment may occur as the result of such activities as consulting, teaching, performing and other such involvements.

A conflict of interest arises when financial or other personal considerations, circumstances, or relationships may compromise, involve the potential for compromising, or have the appearance of compromising a faculty member's objectivity in meeting university duties or responsibilities, including research activities. The biases resulting from conflicts of interest may compromise such responsibilities as making decisions about personnel and purchases; selecting instructional materials for classroom use; gathering, analyzing, and interpreting data; sharing research results; selecting research protocols; employing statistical methods; and mentoring and judging student work. A conflict of interest exists when a faculty member or any member of that person's immediate family (spouse and dependent children) has a personal interest in an activity that could have an impact on decision making at the university with respect to teaching, research, or administration. While a conflict of interest may result from nonfinancial interests or considerations, the overwhelming majority of conflicts of interest result from a financial interest of an EPA employee who is in a position to make a supervisory, academic, or administrative decision which may be compromised because of potential financial gain from a financial interest.

It is the policy of The University of North Carolina at Pembroke that faculty shall devote their primary professional loyalty, time and efforts to teaching, research and service and related duties. Therefore, in accord with this policy, outside activities and financial interests must not interfere with carrying out University employment responsibilities. See UNC Pembroke "Policy on External Professional Activities of Faculty and Other Professional Staff" for more information about defining and reporting conflicts of commitment.

It is the policy of UNC Pembroke that faculty will avoid conflicts of interest that may adversely affect the university's interests, compromise objectivity in conducting research, or compromise their performance of university responsibilities. Thus, external activities and financial interests must be arranged to avoid such conflicts.

It is the policy of UNC Pembroke to comply with the rules applicable to federally funded projects for all externally funded research conducted at the university. Federal funding agencies require that the university manage, reduce, or eliminate any actual or potential conflicts of interest that may exist in relation to instruction, research, and service activities funded by the federal government. It is the purpose of this policy to promote objectivity in research by establishing standards that provide a reasonable expectation that the design, conduct, and reporting of externally funded research will be free from bias resulting from investigator financial conflicts of interest.

For more information on the disclosure, review, and monitoring of conflicts of interest, see the full text of the policy on "Conflicts of Commitment and Interest Affecting University Employment" at the website for University Policies and Regulations at <http://www.uncp.edu/about-uncp/administration/policies-and-regulations/all-policies/pol-054501-policy-conflicts-commitment-and-interest-affecting-university-employment>.

## **Policy on External Professional Activities of Faculty and Other Professional Staff**

### **Section 1. University Policy**

The following policy was adopted April 16, 1993 by the Board of Governors of the University of North Carolina:

The University of North Carolina and its constituent institutions seek to appoint and to retain, as faculty and other professional staff members, individuals of exceptional competence in their respective fields of

professional endeavor. Because of their specialized knowledge and experience, such persons have opportunities to apply their professional expertise to activities outside of their University employment, including secondary employment consisting of paid consultation with or other service to various public and private entities. Through such practical, compensated applications of their professional qualifications, University employees enhance their own capabilities in teaching and research. Thus, participation of faculty and other professional staff members in external professional activities for pay, typically in the form of consulting, is an important characteristic of academic employment that often leads to significant societal benefits, including economic development through technology transfer. However, such external professional activities for pay are to be undertaken only if they do not:

- a. Create a conflict of commitment by interfering with the obligation of the individual to carry out all primary University duties in a timely and effective manner; or
- b. Create a conflict of interest vis-à-vis the individual's status as an employee of the University; or
- c. Involve any inappropriate use or exploitation of University resources; or
- d. Make any use of the name of the University of North Carolina or any of its constituent institutions for any purpose other than professional identification; or
- e. Claim, explicitly or implicitly, any University or institutional responsibility for the conduct or outcome of such activities.

## **Section 2. Definitions**

- a. "External professional activities for pay" means any activity that 1) is not included within one's University employment responsibilities; 2) is performed for any entity, public or private, other than the University employer; 3) is undertaken for compensation; and 4) is based upon the professional knowledge, experience and abilities of the faculty or other professional staff member. Activities for pay not involving such professional knowledge, experience and abilities are not subject to the advance disclosure and approval requirements of Section 3 of this Policy, although they are subject to the basic requirement that outside activities of any type not result in neglect of primary University duties, conflicts of interest, inappropriate uses of the University name, or claims of University responsibility for the activity.
- b. "University employment responsibilities" include both "primary duties" and "secondary duties." Primary duties consist of assigned teaching, scholarship, and all other institutional service requirements. Secondary duties consist of professional affiliations and activities traditionally undertaken by faculty and other professional staff members outside of the immediate University employment context that redound to the benefit of the profession and to higher education in general. Such endeavors, which may or may not entail the receipt of honoraria or the reimbursement of expenses, include membership in and service to professional associations and learned societies; membership on professional review or advisory panels; presentation of lectures, papers, concerts or exhibits; participation in seminars and conferences; reviewing or editing scholarly publications and books; and service to accreditation bodies. Such integral manifestations of one's membership in a profession are encouraged, as extensions of University employment, so long as they do not conflict or interfere with the timely and effective performance of the individual's primary University duties.
- c. "Faculty or other professional staff member" means any person who is employed full-time by the University of North Carolina or a constituent institution or other agency or unit of the University of North Carolina and who is not subject to the State Personnel Act.
- d. "Department" means an academic department, a professional school without formally established departments, or any other administrative unit designated by the Chancellor of an institution or by the President for the Office of General Administration, for the purposes of implementing this policy.

- e. "Inappropriate use or exploitation of University resources" means using any services, facilities, equipment, supplies or personnel which members of the general public may not freely use. A person engaged in external professional activities for pay may use, in that connection, his or her office and publicly accessible facilities such as University libraries; however, an office shall not be used as the site for compensated appointments with clients, e.g., for counseling or instruction. Under no circumstances may a supervisory employee use the services of a supervised employee during University employment time to advance the supervisor's external professional activities for pay.
- f. "Conflict of interest" relates to situations in which financial or other personal considerations may compromise, may have the potential for compromising, or may have the appearance of compromising an employee's objectivity in meeting university duties or responsibilities, including research activities.

### **Section 3. Procedures Governing External Professional Activity for Pay**

- a. A faculty or other professional staff member who plans to engage in external professional activity for pay shall complete the "Notice of Intent to Engage in External Professional Activity for Pay" (hereinafter referred to as "Notice of Intent") which shall be filed with the head of the department in which the individual is employed. A separate "Notice of Intent" shall be filed for each such activity in which an employee proposes to engage. Unless there are exceptional circumstances, the "Notice of Intent" shall be filed not less than ten (10) calendar days before the date the proposed external professional activity for pay is to begin.
- b. Approval of a "Notice of Intent" may be granted for a period not to exceed the balance of either 1) the fiscal year (in the case of 12-month employees and employees with contract service periods that include the summer session) or (2) the academic year (in the case of 9-month employees with no summer session contract period) remaining as of the date of approval; if the approved activity will continue beyond the end of the relevant fiscal or academic year in which it was begun, an additional "Notice of Intent" must be filed at least ten days before engaging in such activity in the succeeding relevant year.
- c. Except as set out in paragraph "d" below, the "Notice of Intent" shall be considered as follows: If, after a review of the "Notice of Intent" and consultation with the faculty or other professional staff member, the department head determines that the proposed activity is not consistent with this policy statement of the Board of Governors, the faculty or other professional staff member shall be notified of that determination within ten (10) calendar days of the date the "Notice of Intent" is filed. In the event of such notification by the department head, the faculty or other professional staff member shall not proceed with the proposed activity but may appeal that decision to the administrative officer to whom the department head reports, and then to the Chancellor (or, in the General Administration, to the President). A decision on any such appeal shall be given to the faculty or other professional staff member within ten (10) calendar days of the date on which the appeal is received. The decision of the Chancellor (or of the President) shall be final. Appeals shall be made in writing on the "Notice of Intent" form.
- d. If question 8, question 9a, or question 9b on the "Notice of Intent" is answered in the affirmative, the procedure set out in paragraph 3.c above shall be modified as follows: The decision of the department head to approve the activity shall be reviewed promptly and approved or disapproved within ten (10) days of receipt by the administrative officer to whom the department head reports, and appeal of a disapproval by that officer shall be to the Chancellor (or, in the General Administration, to the President).
- e. Departmental summaries of all "Notices of Intent" filed and of actions taken in response to such "Notices of Intent" during the preceding fiscal year shall be submitted by department heads to the Chancellor (or, in the General Administration, to the President) each July. The

- Chancellors shall provide annual summary reports to the President by September 1 of each year.
- f. University employees not complying with these procedures will be subject to disciplinary action. Department heads are held responsible for proper reporting.

#### **Section 4. Special Provisions**

- a. External professional activities for pay performed for another institution or agency of the State of North Carolina also must comply with State policies governing dual employment and compensation, unless an exception to those State policies is expressly authorized by the Chancellor or the President.
- b. The procedures in Section 3 shall not be required of faculty and other professional staff members serving on academic year contracts, if the external professional activity for pay is wholly performed and completed between the day following spring commencement and the first day of registration for the fall semester, provided that the activity does not conflict with this policy statement of the Board of Governors and is not conducted concurrently with a contract service period for teaching, research, or other services to the institution during a summer session.

#### **Section 5. Effective Date**

This policy statement shall become effective on July 1, 1993.

#### **Policies on Employee Political Candidacy and Office-Holding**

Policies adopted by the Board of Governors in 1976 establish processes for resolving, in advance, questions about possible conflicts between a University employee's satisfactory performance of employment responsibilities and his involvement in political candidacy and office-holding. All University employees (full-time, part-time, or adjunct) except those subject to the State Personnel Act are covered by the policies. An employee who intends to become a candidate for election or appointment to or to hold any public office is responsible for knowing the terms of and complying with the requirements of the Board policies. A copy of the full text of the Board policies may be found in Section 300.5 of the UNC Policy Manual at <http://www.northcarolina.edu/policy/index.php>. Failure to comply with the policies is a violation of the terms and conditions of University employment and may result in disciplinary action. Advice concerning the interpretation and application of the policies may be obtained from the University Attorney.

#### **Policy on Administrative Separations and Retreats to Faculty Positions**

The Board of Governors and the UNC General Administration requires each institution to establish a policy governing the separation and/or retreat of certain administrators. This policy is in response to that mandate. This policy addresses voluntary and involuntary relinquishments of duties by "Senior Academic and Administrative Officers." Conditions of employment of the Chancellor position are not part of this policy. The University will adhere to the regulations of the Board of Governors and UNC General Administration regarding separations, reassignments, and retreats to faculty position by Senior Academic and administrative Officers as specified in the UNC Policy Manual, Section 300.1.6 which can be located at the website for the UNC General Administration at <http://www.northcarolina.edu/policy/index.php>. Voluntary and involuntary relinquishments of duties by Senior Academic and Administrative Officers will be handled in the following manner.

A Senior Academic and Administrative Officer who holds a concurrent tenured faculty appointment may return to that appointment with all the rights and responsibilities of faculty in the home department, unless a proceeding is initiated to discharge or demote the administrator from the faculty position. If there has been an administrative stipend during the appointment, that stipend should be removed. The salary will be adjusted from a 12-month administrative salary to a 9-month or 12-month faculty salary that is

commensurate with the salaries of comparable faculty members. At the Chancellor's discretion, the Chancellor may provide a reasonable period of time with full administrative salary to provide an opportunity for the employee to prepare for teaching and research responsibilities. The reasonable period of time should be related to the time spent in administrative duties. If the Chancellor proposes to pay the administrator full or partial administrative pay after the termination of the administrator's duties for longer than one year, the agreement must be approved by the Board of Trustees.

A Senior Academic and Administrative Officer leaving a position that is categorized as "at will" has no claim to a position at the University; however, there may be circumstances in which assignment to another administrative or teaching position would be beneficial for both the University and the employee. In these cases, the new salary should be appropriate to the assignment. If the Chancellor proposes to pay the administrator his or her full administrative salary after moving the administrator to a position that would normally be lower paying, or if paid leave is to be granted, the agreement to so pay or grant leave to the administrator must be approved by the Board of Trustees. This policy does not supersede any notice or severance pay required by the Board of Governor's policy.

In some cases, it may be in the best interest of the University to negotiate a severance agreement with a Senior Academic and Administrative Officer. UNC policy addresses timely notice for termination of Senior Academic and Administrative Officers hired pursuant to Policy 300.1.1, I.B. In accordance with The University of North Carolina Policy 300.1.1, III.B, in certain circumstances these employees are entitled to notice of the discontinuation of their employment with full pay for up to 90 days of severance pay, depending on their length of service. The Chancellor may, at his or her discretion, determine that the circumstances justify continuing full pay for employees subject to Policy 300.1.1, I.A., for up to 90 days. The Board of Trustees must approve any agreement that results in a longer period of compensation.

Nothing in this policy shall prevent a Senior Academic and Administrative Officer from retiring or a Senior Academic and Administrative Officer who holds a faculty appointment from participating in phased retirement consistent with existing policies of The University of North Carolina.

**SECTION II  
CHAPTER 2  
FACULTY EVALUATION POLICY**

**General Information**

This Faculty Evaluation Model has the following sections: principles and criteria upon which faculty evaluations are based; principles informing the roles of different parties in the faculty evaluation; evaluation procedures for each type of evaluation, evaluation forms, and Calendars of Events for each type of evaluation.

This Model covers evaluations of full-time faculty members and evaluations by faculty members of Department Chairs, but does not cover administrators or academic support personnel even though they may hold faculty rank. Full-time teaching faculty are those who teach at least nine semester hours. Some faculty who would normally be considered full-time but who have been reassigned to other non-teaching duties are to adjust the weights in their self-evaluations to account for those other responsibilities. Performance in such non-teaching functions will be evaluated by whomever the faculty member reports to for those responsibilities.

Full-time faculty receive annual evaluations, evaluations for promotion and/or tenure, and evaluations for contract renewal. They also may receive advisory evaluations. Tenured faculty receive a comprehensive, periodic, cumulative evaluation every five years or five years from the last review related to tenure and/or promotion. Procedures for non-tenure-track faculty are also described. Faculty members are evaluated in three areas (teaching, scholarship, and service) to which flexible area weights are assigned. Overall evaluation is recorded on standard evaluation forms and measured in accordance with a four-category Standard Performance Rating Scale taking the faculty member's area weights into account. Overall performance ratings become the basis for annual recommendations for merit salary increases as well as for tenure, promotion, or contract renewal recommendations. In this Model, the phrase "major evaluations" denotes evaluations for tenure, promotion, or contract renewal.

Librarians with faculty rank are evaluated under the provisions of the Faculty Handbook in the section below on "Policy Statement on Appointment, Reappointment, Promotion, and Tenure of Professional Librarians." Evaluation of library services, including performance of library personnel, is delegated to the Academic Support Services Sub-Committee of the Faculty Senate. Evaluations (contract renewal, annual, tenure, promotion, and post-tenure review) of professional librarians with faculty rank will follow the same general procedures that are applied to teaching faculty, with exceptions dependent on the special responsibilities of librarians. Those responsibilities are outlined in general terms as criteria for appointment, promotion, and tenure in Section II, Chapter 1 on Faculty Personnel Policies and Section II, Chapter 3 on Faculty Tenure and Promotion Policy.

Faculty members seeking tenure and/or promotion are advised to consult Section II, Chapter 3 of the Faculty Handbook that outlines University-wide criteria for tenure and promotion.

**Optional Departmental Evaluation Plan**

The general objectives of the Faculty Evaluation Model may be attained by other methods. Departments that prefer to modify criteria or procedures are strongly encouraged to develop a Departmental Evaluation Plan. That plan may provide specific criteria as supplements to the Guiding Principles and may substitute alternatives for the Format for Evaluation Reports, the Student Evaluation of Instruction Form, and the Department Chair Evaluation Form. In developing any alternative Student Evaluation of Instruction Form, a department should obtain input from its students. Department plans may include descriptions of disciplinary expectations in the areas of teaching, research, and service.

An acceptable plan must (a) adhere to the guiding principles and procedural objectives in this document; (b) conform to all deadlines established herein; (c) produce a final output that can be expressed in terms of the Annual Merit Salary Increase Recommendation Form and the Tenure, Promotion, and Renewal Form; (d) be approved by a two-thirds majority of the department's full-time faculty; and (e) be approved by the Faculty Senate. Departmental plans are required to be reasonably consistent across time so that no individual's evaluation is affected by temporary, arbitrary, or radical changes. The Office for Academic Affairs will maintain a file of all approved departmental plans for examination by all faculty members.

### **Guiding Principles**

The underlying philosophy of this Model is that evaluation of faculty performance is a complex process that should promote a reasonable degree of equity and consistency for all individuals and academic departments. The Model should be implemented in a way that enhances faculty development and promotes faculty achievement and satisfaction while also promoting the mission of The University of North Carolina at Pembroke.

All phases of evaluation are to be guided by the principles set forth below. Individual faculty members have latitude in the roles they assume as they fulfill their responsibilities to the University and its mission. The Model encourages flexibility in applying the principles and criteria for each area of faculty evaluation, allowing for the varying needs and traditions of different academic disciplines. The Model also specifies procedures that promote consistency in evaluation. This Evaluation Model will be reviewed periodically by the Faculty Evaluation Review Subcommittee and amended as the Faculty Senate deems appropriate.

As a means to help insure fairness in all formal evaluations, a faculty member has the right to submit a rebuttal pertaining to any aspects of reports submitted by Deans, Department Chairs Peer Evaluation Committees, and the Promotion and Tenure Committee. Each entity in the evaluation process, therefore, is to submit a copy of its report to the faculty member being evaluated.

While this Model attempts to be reasonably comprehensive with respect to policies and procedures, faculty members should also be familiar with other sections of the Faculty Handbook concerning tenure and promotion criteria (Section II, Chapter 3), grievance procedures (Section II, Chapter 1), and hearing procedures (due process: Section II, Chapter I). Further, employment at the University and conduct as a faculty member are governed by sections of *The Code of the Board of Governors of The University of North Carolina* (available at the website for the UNC General Administration at <http://www.northcarolina.edu/policy/index.php>). Faculty members should consult this document as well as the Faculty Handbook.

For purposes of evaluation, all faculty responsibilities are divided among three general areas of teaching, research, and service as reflected in The University of North Carolina at Pembroke Mission Statement. Some activities, such as grant-related work, may fall into several areas and should be evaluated accordingly. Throughout the following sections, the term “knowledge” is used as a broad summary term intended to include factual information; epistemological and empirical principles; artistic technique; empirical and interpretive methodologies; reasoning skills; and so forth.

### **Evaluation of Teaching**

At The University of North Carolina at Pembroke, teaching is the single most important responsibility of regular full-time faculty members. According to our Mission Statement, The University of North Carolina at Pembroke “exists to promote excellence in teaching and learning, at the graduate and undergraduate levels, in an environment of free inquiry, interdisciplinary collaboration, and rigorous intellectual standards.” Teaching thus receives an area weight of 50%-70% in a faculty member’s evaluation, unless an exception is granted in writing.

The teaching area has two components. Classroom teaching includes all activities involved in preparing and conducting the courses that a faculty member is assigned to teach. Auxiliary teaching activities may include submitting grades, supervising student research projects or other learning not directly tied to an assigned course, administering teaching-related grants, cooperating with colleagues in planning curricula, cooperating with university-wide and departmental curricular objectives, and pursuing professional growth as a teacher.

Classroom teaching effectiveness is evaluated in terms of six broad dimensions:

1. Imparting general knowledge: Effective teachers impart a sound and up-to-date understanding of the concepts, categories, principles, summaries, and other generalizations that apply to the topics within a course, providing a foundation for other learning. Even courses in applied techniques present conceptual frameworks that may be communicated through demonstrations, exercises, and discussions as well as lectures. Typically, success in imparting general content is evidenced by students' capacity to explain what they have learned; to understand new information in the area; to apply their knowledge to new problems and contexts; and to analyze, synthesize, and evaluate information.
2. Imparting specific knowledge: Effective teachers impart a representative, unbiased, selection of facts, examples, and other details that enrich a course's general content. In a successful course, specific content authenticates and illustrates concepts, stimulates the imagination, and presents logical relationships between specific and general content clearly.
3. Developing skills: Effective teachers develop students' capacity to perform various types of skills. Some of these skills reinforce course content. Other skills involve broader intellectual operations that underlie most university courses, such as creativity, oral and written communication skills, critical thinking, research methods, computer proficiency, and basic quantitative reasoning. Since many students need to develop basic skills, success in this area is an important component of effective teaching.
4. Motivating students: Effective teachers elicit from students a strong desire to learn. Motivated students prepare for class sessions, pay attention during class, participate in discussions, complete assigned work, rehearse skills, and study for examinations. Motivated students also show confidence, curiosity, and creativity; they strive for excellence in completing assignments; and they take an interest in non-required material and further course work in the area covered. Effective teaching practices to stimulate motivation are also addressed below.
5. Setting requirements and evaluating performance: Effective teachers fairly and accurately evaluate student learning while also providing students with specific feedback that promotes further learning. Performance standards are appropriate to course content and course level. Examinations, papers, and other assignments are sufficient, varied, and challenging; are appropriate to course content, course objectives, and students' background; and allow students to demonstrate their learning. Student work is graded carefully and returned in a timely manner with appropriate feedback. Student failure is handled constructively.
6. Success with effective teaching practices: Effective teachers provide syllabi with clear course objectives and requirements; use teaching techniques (e.g., lectures, demonstrations, exercises, and discussions) that are effective and appropriate to fulfill course objectives; meet their classes as scheduled; set high expectations and help students meet them; involve students in active and cooperative learning; and continually review and revise courses. Effective teachers are enthusiastic and intellectually involved, treat students with respect and courtesy, offer extra assistance to students, and encourage students to consult with them outside of class.

Auxiliary teaching activities are evaluated by criteria appropriate to these activities, such as submitting valid grades in a timely manner, effectively supervising student research projects or other learning not

directly tied to an assigned course, working constructively with peers to develop curricula, supporting University and departmental objectives, and participating in activities for professional development as a teacher.

Major evaluations for renewal, tenure, and promotion will include documentation of teaching effectiveness. This documentation typically includes copies of representative syllabi, tests, assignments, and handouts; samples of student work and the faculty member's response to the work; and Student Evaluation Reports. This extensive documentation is typically not required for annual evaluations. Major evaluations for renewal, tenure, and promotion require reports on classroom observations by the Department Chair and members of a Peer Evaluation Committee. Auxiliary teaching activities may be documented by copies of student research projects, outlines of new curricula to which a contribution was made, and records of participation in activities for professional development as a teacher (workshops, seminars, conferences, etc).

### **Evaluation of Scholarship**

Though teaching is their fundamental responsibility, all full-time tenured and tenure-track faculty members are expected to have a balanced pattern of scholarship and service over the previous three years of employment at The University of North Carolina at Pembroke. Scholarship receives an area weight of 10% to 40% in a faculty member's evaluation unless an exception is granted in writing. Scholarly work in progress, if appropriately documented, is recognized as a component of scholarship, but completed works of scholarship receive greater weight in evaluation. In promotion and tenure decisions, a consistent pattern of completed scholarly projects is expected.

Scholarship (scholarly research and/or scholarly publication) is defined as a set of disciplined intellectual activities that create or refine knowledge and exert influence through public dissemination in an academically respectable format. This definition of scholarship includes creative activity appropriate to the arts. Scholarly research is defined as (a) creating basic knowledge, (b) compiling or synthesizing knowledge, (c) applying existing basic knowledge to the solution of practical problems, (d) applying professional knowledge and skills to artistic problems, or (e) completing a special program of intellectual development. Scholarly research may include research involved in the dissemination of scholarship or the preparation of scholarly publications as an editor or reviewer.

Attendance at professional conferences and workshops can contribute to a faculty member's scholarly research and may count among scholarly activities in a given year. Over time, however, conference attendance without scholarly publication (see below) in itself is not considered scholarship. Preparation and administration of grants qualifies as scholarly research only insofar as it entails the activities cited above.

Scholarly publication is defined as employing accepted techniques to publicly communicate research to (a) scholarly audiences, (b) student audiences, or (c) general audiences. Although most scholarly publication is intended primarily for other scholars, a publication that informs a broader audience is acceptable as long as the format of the publication is appropriate to a discipline.

Scholarship is evaluated primarily against specialized criteria appropriate to the disciplines of each department and consistent with a department's evaluation plan. The quality of scholarly publication is typically ensured through a peer review process appropriate to its audience. General criteria for evaluating scholarship include (a) significance as indicated by judged intellectual depth and scope, originality, and potential benefit to academia or society at large; and (b) peer review or recognition as indicated by publication in a refereed journal, publication in book form by a scholarly press or other recognized publisher, or presentation at a recognized forum for work in progress. National and international forums

are typically accorded greater significance than regional ones. In tenure and promotion decisions, completed projects carry more weight than works in progress.

Typical documentation of scholarship includes copies of scholarly publications, books, conference papers, catalogs, or programs, and similar evidence of professional productivity in the faculty member's discipline. Less important is evidence of attendance at workshops, seminars, conferences, performances, or other activities even when they may directly contribute to a faculty member's scholarly or creative projects. When such projects require longer periods of time to complete, a faculty member may provide evidence of significant progress toward completion, including paper presentations, contracts for book publication, or external peer comments on a paper or partial manuscript. In cases where the confidential nature of a research project prevents its wider dissemination, a faculty member should provide appropriate documentation.

### **Evaluation of Service**

Though teaching is a fundamental responsibility, all full-time tenured and tenure-track faculty members are expected to have a balanced pattern of scholarship and service at The University of North Carolina at Pembroke. Service receives an area weight of 10% to 40% in a faculty member's evaluation unless an exception is granted in writing.

Service is divided into three categories: University service, professional service, and community service. In a given year, faculty members may apportion their service activities among these categories as they deem appropriate or in accordance with the needs of the University (e.g. required service to area public schools). Although a faculty member may choose to emphasize one or more areas of service, candidates for tenure and/or promotion should show some level of service in each of the three categories.

University service includes any University-related activities other than teaching and scholarship that promote the welfare of the University. Activities within and outside one's academic department (academic advisement of students, mentoring, preparation of grant applications, administrative activities associated with external grants and student activities, committee work and involvement in faculty governance, revision of curricula, preparation of accreditation reports, and similar voluntary activities not assigned as position responsibilities) are considered University service.

University service is evaluated when possible by results: advisees grant applications completed, grants successfully administered, activities of student organizations, valuable contributions to a committee's projects, completion of reports, gaining accreditation, and similar accomplishments. Listing committee membership as a form of service implies that one has fulfilled at least the basic responsibilities of membership. Professional service and community service are evaluated when possible by results: by the importance of contributions made, by how demanding activities were, and by how well objectives were achieved.

Professional service consists of activities that benefit a faculty member's field of professional expertise. Professional service may include serving on professional committees and governing boards, serving as an officer in a professional organization, organizing and chairing sessions at professional meetings, and performing routine editing and reviewing. A professional activity for which remuneration is granted is evaluated as service only in cases where any compensation is very limited (e.g., expenses or a small honorarium).

Community service connotes activities that (a) are charitable; (b) are performed for the benefit of individuals or groups separate from the University and from the wider profession whether in a secular or non-secular context; and c) involve a commitment in time and use of professional expertise. Examples of community service include participating on committees and governing boards; speaking to non-

professional audiences about topics in one's discipline; providing consultation to schools, civic organizations, and government agencies; or providing leadership on public matters related to the faculty member's professional expertise. A community service activity for which remuneration is granted is evaluated as service only in cases where any compensation is very limited (e.g., expenses or a small honorarium). UNCP Serve, under the auspices of the Office of Civic and Community Engagement, may be helpful in identifying local service venues for faculty; however, faculty are free to seek out any service opportunity that interests them and make use of their professional expertise.

Collegiality (willingness and ability to cooperate with colleagues) may be considered relevant to evaluation of service. If so, assessment of collegiality should be based solely on the faculty member's capacity to relate constructively to peers, including his or her impact on others' work.

Appropriate materials that demonstrate service contributions commensurate with the area weight assigned must be used to document service. In general, letters of appreciation from organizers of service opportunities should be used as documentation only if they indicate an exceptional contribution. University service may be documented by materials such as lists of advisees; copies of reports or grants prepared; and supporting statements by Department Chairs, committee chairs, or the Office for Sponsored Research and Programs. Professional service and community service may be documented by printed or widely distributed materials such as conference programs, flyers, or by statements from chairs or presidents.

### **Participants in Faculty Evaluation**

All evaluators should be guided by the traditions of academic freedom. They are required to adhere to the tenet of the Faculty Evaluation Model when making judgments about a faculty member's performance. Also, all evaluators are required to maintain confidentiality about all the information and decisions involved except for disclosures required by their formal reporting responsibilities.

### **The Faculty Member Being Evaluated**

The main kinds of evaluations of faculty members are as follows. Each full-time faculty member, even a faculty member not tenured or in a tenure-track position, receives annual evaluations. In addition, faculty members in tenure-track positions receive evaluations for tenure and for each promotion. Untenured tenure-track faculty receive contract renewal evaluations and may receive advisory evaluations. Non-tenure-track faculty are evaluated annually.

Because of the complexity and specialized nature of academic work, a faculty member's self-evaluation should be a primary source of information about the goals, methods, and degree of success associated with his or her performance. Faculty members are responsible for representing their work accurately and providing appropriate documentation for their claims. Faculty members should have considerable freedom to allocate their time and effort in ways that use their competencies most productively while still fulfilling their responsibilities to the University. To allow individual choices to play a meaningful role in self-evaluation, the faculty member indicates a set of annual area weights when completing a Self-Evaluation Report. These weights must be taken into account by evaluators in developing overall performance evaluations. In all formal evaluations, the candidate has the right to submit a rebuttal pertaining to any aspects of reports submitted by the Dean, the Department Chair, the Peer Evaluation Committee, and the Promotion and Tenure Committee.

### **Students**

Students who take a faculty member's courses play an important role in evaluating the faculty member's teaching effectiveness. They submit information on a Student Evaluation of Instruction Form consisting of numerical data and student comments from which summaries are compiled for each course. Student evaluations must be administered in a manner that conveys their importance and protects students' sense

of freedom to give candid evaluations. Students should also have significant input in developing or selecting the instruments used to gather their evaluations of teaching.

Student evaluations by themselves do not provide sufficient information to validly judge a faculty member's performance as a teacher; hence, evaluation of teaching effectiveness involves a variety of types of documentation. In addition, all parties involved in faculty evaluation are cautioned to avoid placing undue emphasis on individual student comments, as these comments may not be reflective of the opinions of the majority of students in a given course. The Student Evaluation of Instruction completion rate in each course should also be taken into account by all evaluators when weighting the numerical data summary. The data should be viewed with extreme caution when completion rates for the listed course were low.

### **The Department Chair**

The Department Chair is responsible for (a) coordinating the evaluation process at the departmental level, (b) providing the primary administrative evaluation of the faculty member's performance, and (c) promoting the professional growth of the department's faculty. In years prior to tenure and/or promotion decisions, the Department Chair is strongly encouraged to provide each faculty member with constructive, timely guidance about the means by which any deficiencies can be corrected.

A Department Chair's Evaluation Report includes assigning performance ratings, recommending merit salary increases in annual evaluations, and reporting on classroom observation for major evaluations. In preparing the Department Chair's Evaluation Report for a faculty member, a Chair should use the Format for Evaluation Reports and be guided by the Standard Performance Rating Scale (available at the website for the Office of Academic Affairs at <http://www.uncp.edu/about-uncp/administration/departments/academic-affairs/forms> ). Serious consideration must be given to the area weights on the faculty member's Self-Evaluation Report(s). In the case of a positive tenure and/or promotion review, the Department Chair should provide specific information about the faculty member's success in meeting expectations. If a review for tenure and/or promotion reaches a negative conclusion, the Department Chair must provide specific instances in his/her report to illustrate the faculty member's failure to meet expectations.

### **The Peer Evaluation Committee**

A Peer Evaluation Committee's first task is to elect a chair who then notifies the Department Chair of his or her election. The Peer Evaluation Committee is responsible for preparing and submitting a Peer Evaluation Report in decisions involving tenure and/or promotion, as well as for contract renewal evaluations.

The report is based on documentation submitted by the faculty member being evaluated, classroom observations, and external review if called for. The Peer Evaluation Committee is responsible for gathering appropriate information, assessing its implications, and formulating a coherent evaluation of the faculty member's performance. The Peer Evaluation Committee is given access to the faculty member's entire portfolio including previous annual chair Evaluations. However, no discussion should take place between the Peer Evaluation Committee and the Department Chair (or between the Peer Evaluation Committee and the Dean in the case of a Department chair) during the course of the review.

In preparing the Peer Evaluation Report for a faculty member, a Peer Evaluation Committee should use the Format for Evaluation Reports and be guided by the Standard Performance Rating Scale. Serious consideration must be given to the area weights on the faculty member's Self-Evaluation Report(s). In cases of tenure and/or promotion review, the Peer Evaluation Committee Report must include sufficient information to justify the Committee's decision.

### **The Deans of Schools and Colleges**

The Deans of Schools and Colleges are responsible for monitoring the evaluation process for procedural compliance with the Faculty Evaluation Model as well as for overall fairness and equity. After reviewing the materials submitted by the Department Chair, Peer Evaluation Committee (if provided), and the faculty member under review, the Dean will complete the Dean's Recommendation or Report form (available at the website for the Office of Academic Affairs at <http://www.uncp.edu/about-uncp/administration/departments/academic-affairs/forms>) which will then be forwarded, with the materials the Dean has reviewed, to the Provost and Vice Chancellor for Academic Affairs.

### **The Promotion and Tenure Committee**

The Promotion and Tenure Committee advises the Provost and Vice Chancellor for Academic Affairs on matters of promotion and tenure. This University-wide committee attempts to ensure a fair and consistent application of published promotion and tenure standards. The responsibilities of the Promotion and Tenure Committee are to (a) read and carefully consider the reports of the appropriate Dean, Department Chair, and Peer Evaluation Committee; (b) request any additional information that it deems necessary; (c) examine all facets of the application including the faculty member's portfolio; and (d) reach an equitable final decision taking into account the weights chosen by the faculty member; and (e) write a report that supports in decision of the Committee. Responsibilities in the tenure and/or promotion process are described in Section II, Chapter 3.

### **The Faculty Evaluation Review Subcommittee**

The Faculty Evaluation Review Subcommittee is responsible for representing the norms and values of the general faculty in all matters related to the Faculty Evaluation Model. When the current provisions of the Faculty Evaluation Model do not provide adequate instruction on a specific procedural matter, the party involved may request an ad hoc ruling from the Faculty Evaluation Review Committee. This ruling will be forwarded for consideration to the Faculty Evaluation Review Subcommittee's parent committee, the Faculty and Institutional Affairs Committee.

### **The Provost and Vice Chancellor for Academic Affairs**

The Provost and Vice Chancellor for Academic Affairs is responsible for making recommendations about a faculty member's salary increases, merit salary increases, tenure, promotion, and contract renewal to the Chancellor based on recommendations and materials submitted by the Department Chair and other evaluators. The Provost and Vice Chancellor for Academic Affairs is also responsible for establishing and maintaining a general climate conducive to successful implementation of the Faculty Evaluation Model and for fostering conditions in which high levels of faculty achievement can occur. The Provost and Vice Chancellor for Academic Affairs may modify deadlines in the evaluation process as circumstances warrant.

In reviewing Department Chairs' and Dean's salary recommendations, the Provost/Vice Chancellor for Academic Affairs should balance the need for institutional accountability with the need to provide equitable opportunities for annual merit salary increases. In cases of tenure, promotion, and contract renewal, the recommendations of the Dean and Provost to the Chancellor should provide the faculty member with a fair, reasonable decision that adheres to the tenets of the Faculty Evaluation Model and serves the interests of the University.

The Provost/Vice Chancellor for Academic Affairs is responsible for collaborating with Department Chairs and Deans to develop a uniform set of norms for interpreting the meaning of the Standard Performance Rating Scale. These norms will necessarily represent some discipline-related variations across departments, especially in the area of scholarship. Beyond such variations, no evaluator (e.g., Department Chair, Dean, Peer Evaluation Committee, Promotion and Tenure Committee) should be permitted to use standards that deviate from the general norms and practices of the University.

The Provost and Vice Chancellor for Academic Affairs should, through the Academic Deans, facilitate faculty development in teaching, scholarly activities, and service. The Provost and Vice Chancellor for Academic Affairs should encourage Department Chairs to schedule teaching assignments judiciously and appropriately and to award reassigned time to faculty members as necessary. Working with the Faculty Research and Development Committee and the Center for Sponsored Research and Programs, the Provost and Vice Chancellor for Academic Affairs should promote a healthy program of both internal and external funding for scholarly and creative work. Working with the Office of Civic and Community Engagement, the Provost and Vice Chancellor for Academic Affairs should promote opportunities for faculty service.

### **The Chancellor**

As Chief Executive Officer of the University, the Chancellor is responsible for facilitating the work of the Provost and Vice Chancellor for Academic Affairs and others in implementing the Faculty Evaluation Model and promoting faculty achievement. The Chancellor receives, reviews, and acts upon all evaluative materials provided by the Provost and Vice Chancellor for Academic Affairs. After reviewing the materials produced by the final evaluation process, the Chancellor takes actions regarding salary and employment.

### **Procedures for Annual Evaluation**

#### **Procedures for Evaluating Faculty: General Considerations**

The evaluation procedures described in this section are designed to attain the following objectives: (a) provide every faculty member with adequate information on how evaluations will be conducted; (b) promote a reasonable degree of equity and consistency both within and among departments; (c) provide procedures that allow a reasonable degree of flexibility for faculty; and (d) define the relationship between the various components of an evaluation and the final decision of the evaluator. New faculty members should be informed of the evaluation procedures during their orientation to the University and should be encouraged to familiarize themselves with the Faculty Evaluation Model.

The annual evaluation provides the basis for merit salary increases and ongoing administrative supervision of faculty. It consists of a Self-Evaluation Report, Student Evaluation Report, Chair's Evaluation Report, an Annual Merit Salary Increase Recommendation, the Dean's Recommendation for Annual Salary Increase, and a recommendation by the Provost and Vice Chancellor for Academic Affairs. Every full-time faculty member is evaluated annually. Faculty members on leave of absence are not evaluated, and Department Chairs evaluate part-time faculty using procedures developed by the Provost and Vice Chancellor for Academic Affairs.

Every faculty member is evaluated every academic year. The annual evaluation includes a(n): (1) Self-Evaluation Report, (2) Student Evaluation Report, (3) Chair's Evaluation Report, (4) Chair's Annual Merit Salary Increase Recommendation, (5) the Dean's Recommendation for Annual Salary Increase, and (6) recommendation of the Provost and Vice Chancellor for Academic Affairs. Procedures for compiling these reports are listed below. The Calendar of Events for Annual Evaluations appears below.

In the Self-Evaluation Report, the faculty member must discuss his or her teaching, scholarship, and service. In addition, each component is assigned an area weight reflective of the time, effort, and accomplishments in each area. The following sections present guidelines to assist the faculty member in compiling the Self-Evaluation report. These guidelines are intended as a general overview of the specific information that should appear in a faculty member's Self-Evaluation Report both in terms of area weights and subheadings.

A faculty member must specify an area weight for each of the three areas of evaluation. For faculty with a regular 12-hour teaching load, these percentages must conform to the following ranges: teaching, 50% - 70%; scholarship, 10% - 40%; and service, 10% - 40%. For any given academic year, the sum of these weights must equal 100%. Faculty members with unusual teaching loads are to adjust the ranges appropriately. A request for an exemption from these standards must be submitted in writing and approved by the chair of the faculty member's department. Exceptions to these standards will be granted in reference to department needs. Grounds for an exemption may include, for example, additional teaching duties, administrative or grant activity, additional service activity, or retraining and retooling in the methodology appropriate to a faculty member's discipline. Faculty members may discuss their area weights with the Department Chair at any time prior to completing their self-evaluation.

When circumstances create special demands on a department, a chair may require a faculty member to adapt his or her pattern of responsibilities to meet such demands. The Department Chair must inform the faculty member in writing of the circumstances and the adjustments required. The faculty member may then adjust his or her area weights on the Self-Evaluation Report as he or she deems appropriate. If the Department Chair is concerned that a prior pattern of area weights is not generating a record adequate for tenure in the department, the chair should recommend that a faculty member adjust his or her weights in future years. Adjustments in area weights may also be needed if a faculty member's teaching load is reduced to allow for other types of activities, such as research, service, or administrative responsibilities.

The faculty Self-Evaluation Report should be structured so that subheadings indicate the items reported and indicate appropriate area weights for each subheading. See the Format for Evaluation Reports (available at the website for the Office of Academic Affairs at <http://www.uncp.edu/about-uncp/administration/departments/academic-affairs/forms>) for an example of how the report should be structured and the subheadings listed.

### **Student Evaluations of Instruction**

All teaching faculty (full- and part-time faculty, Department Chairs, and administrators who teach) are evaluated by students using the Student Evaluation of Instruction Form. Although student evaluations by themselves do not provide sufficient information to validly judge a faculty member's performance as a teacher, they do contribute to the overall faculty evaluation process. The data are summarized in a Student Evaluation Report.

Full-time faculty, teaching graduate or undergraduate courses, are evaluated during one semester of each academic year and part-time faculty are evaluated each semester. The Senate of the Student Government Association and the Faculty Senate must approve the Student Evaluation of Instruction Form. A department may add up to five supplementary items or scales to this form without approval from the Senate. Alternatively, a department may develop a substitute Student Evaluation of Instruction Form in lieu of the general form. The Senate of the Student Government Association and the Faculty Senate must approve any alternate forms.

Instructors being evaluated by students must employ the following evaluation procedures. First, the class is to select a student who will distribute the forms, collect the completed forms, place them in an envelope, and return the sealed envelope to the department secretary. Second, the faculty member must be absent from class while the evaluations are completed. Third, the faculty member being evaluated must not tabulate the student evaluations. Fourth, the faculty member must not receive any report on his or her evaluations until grades for the current semester have been submitted; verbatim evaluation statements will be transcribed when possible. Faculty members are encouraged to conduct student evaluations at the beginning of a class session, to allow adequate time to complete them.

Student evaluation of graduate instruction follows the same procedures as in undergraduate instruction using the Student Evaluation of Instruction instrument. In addition, graduate courses are evaluated using the Graduate Course Analysis form following procedures approved by the Graduate Council and the Faculty Senate. These procedures can be found in the Graduate Faculty Handbook. Data from the analysis of graduate courses are not used in faculty evaluation but instead are used for program improvement and accreditation purposes.

All first-year faculty are to be evaluated by students in both fall and spring semesters. Other faculty members are to be evaluated once a year on the following schedule:

Academic years that begin in odd-numbered years (e.g., fall, 2011-spring, 2012)

Faculty whose last names begin A - M are evaluated in the fall semester

Faculty whose last names begin N - Z are evaluated in the spring semester

Academic years that begin in even-numbered years (e.g., fall, 2012-spring, 2013)

Faculty whose last names begin N - Z are evaluated in the fall semester

Faculty whose last names begin A - M are evaluated in the spring semester

A quantitative summary of the ratings in each course is prepared as soon as possible, and transcripts of student comments are prepared when possible. The faculty member being evaluated must not prepare the quantitative summary or the transcript of comments. The Department Chair must retain the raw Student Evaluation of Instruction Forms for as long as these may be required for future evaluation reviews.

After grades have been submitted, the faculty member receives copies of the quantitative summaries and copies of the transcribed student comments if available. The faculty member may examine the original comments in the Department Chair's office. The Department Chair prepares the Student Evaluation Report, based on both undergraduate and graduate student evaluations of instruction. It provides quantitative summaries and individual comments given by students and is included in the annual Chair's Evaluation Report

### **Annual Chair's Evaluation Report**

As specified previously, each Department Chair must compile an annual Chair's Evaluation Report for each faculty member in the department. This report consists of the (a) faculty member's Self-Evaluation Report, (b) Student Evaluation Report, (c) chair's narrative evaluation, and (d) Chair's Annual Merit Salary Increase Recommendation Form.

Each Chair must compile and submit to the appropriate Dean an annual Chair's Evaluation Report for each faculty member he or she supervises. This report should discuss the faculty member's teaching, scholarship, and service taking into account the faculty member's selected weights. This report should conform to the general guidelines of the Format for Evaluation Reports, with the addition of: (1) a narrative synthesis of the faculty member's overall performance, (2) an overall rating of the faculty member using the Standard Performance Rating Scale, and (3) a signature section for the Department Chair and faculty member being evaluated. The information appearing in the annual chair's narrative evaluation for a faculty member will be drawn from (a) the faculty member's Self-Evaluation Report, (b) student evaluations, and (c) the Department Chair's evaluation of teaching, scholarship, and service. Even when a major evaluation has been conducted earlier in the academic year, a separate annual evaluation is required for purposes of a merit salary increase recommendation, since most of the year's work will have been completed after the Department Chair's portion of the earlier major evaluation was completed.

The Department Chair is required to obtain the faculty member's signature on the Chair's Evaluation Report and the Annual Merit Salary Increase Form. In both instances, the signature merely acknowledges

having reviewed the report and form but does not indicate agreement with their content. The faculty member may submit a rebuttal of the Chair's report to the Dean within ten business days of signing the report.

The Department Chair completes the Annual Merit Salary Increase Recommendation Form (available at the website for the Office of Academic Affairs at <http://www.uncp.edu/about-uncp/administration/departments/academic-affairs/forms>). The recommendation is based on information developed in the annual Chair's Evaluation Report for each faculty member and must reflect the UNC Board of Governors' regulations for the dispersal of salary increase monies and the constraints set for The University of North Carolina at Pembroke by the Provost and Vice Chancellor for Academic Affairs and by the Chancellor. The recommendation is to correspond to the overall performance rating contained in the Chair's Evaluation Report as indicated by the relationships below.

<b>Overall Performance Rating</b>	<b>Recommended Merit Salary Increase</b>
Distinguished	High Plus
Very Good	High
Adequate	Medium
Deficient	Low or No Increase

#### **Annual Dean's Evaluation Report**

After reviewing the materials the Department Chairs submit and any rebuttal submitted by the faculty member, the Dean of the relevant college or school will complete the Dean's Recommendation for Annual Salary Increase form for each faculty member. Within three days, each faculty member will sign the Dean's Recommendation, acknowledging having seen it but not necessarily agreement with it. The faculty member will retain one copy of the signed Dean's Recommendation. The Dean will then forward the recommendation and the materials submitted by the Department Chair to the Provost and Vice Chancellor for Academic Affairs.

In the event that the Dean's recommendation does not agree with that of the Department Chair, the Dean must justify that decision with appropriate comments on the Dean's Recommendation for Annual Salary Increase form. The faculty member will have the right to rebut comments made on the Dean's Recommendation form; such rebuttal must be submitted to the Provost and Vice Chancellor for Academic Affairs within ten days of the faculty member's signing of the Dean's recommendation.

#### **Annual Provost's Evaluation Report**

The Provost and Vice Chancellor for Academic Affairs reviews all the evaluative materials submitted by the Deans and recommends to the Chancellor whether or not to increase each faculty member's salary and how much to increase the salary if an increase is recommended.

#### **Chancellor's Evaluation**

After reviewing all the materials accumulated by the Provost and Vice Chancellor for Academic Affairs and considering the recommendation of the Provost and Vice Chancellor for Academic Affairs, the Chancellor makes the final decision on all faculty salary increases.

#### **Procedures for Tenure and/or Promotion Evaluation**

Evaluations for decisions concerning tenure and/or promotion of tenure-track faculty include the following materials and reports:

- Candidate's materials compiled in accordance with the Portfolio Requirements listed below.
- Chair's Evaluation Report for Tenure/Promotion (with Tenure, Promotion, and Renewal Form)

- Peer Evaluation Report for Tenure/Promotion (with Tenure, Promotion, and Renewal Form)
- Dean's Report for Tenure/Promotion
- Promotion and Tenure Committee Evaluation Report (with Tenure, Promotion, and Renewal Form)
- Recommendation by the Provost and Vice Chancellor for Academic Affairs.

All tenure track faculty are evaluated for tenure and/or promotion, a major evaluation, no later than their sixth year of employment at the University. The Calendar of Events is shown below. Faculty members seeking tenure and/or promotion also should consult Section II, Chapter 3 of the Faculty Handbook that outlines University-wide criteria for tenure and/or promotion

A faculty member being considered for promotion who is a member of the Promotion and Tenure Committee must resign that membership by September 21 if he or she is to be considered for a promotion in that academic year.

### **Notification and Scheduling of Tenure and Promotion Evaluations**

The Department Chair is responsible for ascertaining when mandatory tenure and/or promotion evaluations are due. The Department Chair is responsible for announcing these occasions by August 15 in letters to the candidate, the Dean of the faculty member's school or college, the Provost and Vice Chancellor for Academic Affairs, and the Promotion and Tenure Committee. The letter to the candidate must indicate that the Self-Evaluation Report, Student Evaluation Reports, Peer Evaluation Committee Nomination Form, and supporting materials are due by August 29.

Although there are established eligibility dates for faculty members applying for tenure and promotion, a faculty member may request consideration for tenure and/or promotion earlier than these dates. To exercise this option, a faculty member must petition in writing to the Department Chair, the Dean of the relevant school or college, and the Provost and Vice Chancellor for Academic Affairs by August 1 of the current academic year. Otherwise, evaluation for promotion and tenure will occur in accordance with established dates.

### **Responsibilities of the Faculty Member Being Evaluated**

A faculty member being evaluated for promotion or tenure must submit a portfolio and a completed Peer Evaluation Committee Nomination Form (available at the website for the Office of Academic Affairs at <http://www.uncp.edu/about-uncp/administration/departments/academic-affairs/forms>) to the Department Chair by August 29. It is strongly advised that all members of the Peer Evaluation Committee be tenured or in phased retirement in the evaluated faculty member's home department. However, when circumstances dictate, other choices may be made to ensure disciplinary representation. An evaluated faculty member may not nominate faculty members who are being considered for contract renewal or tenure and/or promotion during the same academic year, the Department Chair, or a member of the Promotion and Tenure Committee.

The following material must be submitted by the faculty member in a three-ring binder divided into eight sections labeled with headings.

1. A copy of the completed Peer Evaluation Committee Nomination Form
2. A current Curriculum Vitae
3. An Expanded Self Evaluation Report covering the full period under consideration.
4. Copies of signed Department Chair's Annual Evaluations received since the last successful major evaluation.

5. Student Evaluation Reports for the full period under consideration (Include the quantitative summary of ratings and transcripts of student comments.)
6. Documentation of effectiveness in teaching: Include course syllabi for a selection of courses taught at UNCP and course materials (selected assignments, handouts, PowerPoint slides, tests, student work, etc.) for one General Education course (if applicable), one upper division course (if applicable), and one graduate course (if applicable).
7. Documentation of scholarship and other professional activity in the faculty member's discipline: Include conference papers/posters, publications, reviews, books, creative work, recordings, programs, conferences attended, etc. with specific dates.
8. Documentation of service: Include relevant materials that illustrate contributions in the areas of University, professional, and community service.

A faculty member may request an external review of his or her scholarship to support an application for tenure and/or promotion. Faculty members wishing to do so must submit a written request to the Department Chair by September 17. The Peer Evaluation Committee may also request an external review of a faculty member's scholarship by following the same procedure. In either case, the candidate is solely responsible for providing (a) an outline of specialty areas and materials that pertain to specialty areas and (b) a list of potential reviewers for each specialty area. The candidate, Department Chair, and Peer Evaluation Committee must agree concerning the qualifications of any external reviewer. If external review is contemplated, the candidate is advised to make preparations before the fall semester.

Upon receipt of the Chair's Evaluation Report and completed Tenure, Promotion, and Renewal Form (available at the website for the Office of Academic Affairs at <http://www.uncp.edu/about-uncp/administration/departments/academic-affairs/forms>) the faculty member must sign and return one copy of each to the chair within three working days. The faculty member also is required to sign the Peer Evaluation Report and its Tenure, Promotion, and Renewal Form. In both instances, the signature merely acknowledges having reviewed the reports and forms, but does not indicate agreement with their content. If the faculty member has received an unfavorable report from either the Department Chair or Peer Evaluation Committee, the faculty member may submit a rebuttal to the Dean within 10 days of receiving either report.

### **Responsibilities of the Department Chair**

Department Chairs are responsible for notifying a faculty member in writing by August 15 of the evaluation year that a mandatory contract renewal or tenure evaluation is due. Additionally, Department Chairs are responsible for establishing Peer Evaluation Committees, conducting classroom observations of teaching, preparing and submitting all Chair's Evaluation Reports that are required for contract renewal and tenure and/or promotion decisions, and completing the Tenure, Promotion, and Renewal Forms.

The Department Chair obtains the completed Peer Evaluation Committee Nomination Form from the candidate (forms available at the website for the Office of Academic Affairs at <http://www.uncp.edu/about-uncp/administration/departments/academic-affairs/forms>). The chair appoints three faculty members to the Peer Evaluation Committee. Department Chairs from departments other than that of the evaluated faculty member may also serve on Peer Evaluation Committees. The Department Chair is obligated to appoint the candidate's assured nominee so long as the nominee is qualified, but the Department Chair is free to substitute other qualified faculty members for the two remaining positions. It is strongly advised that all members of the Peer Evaluation Committee be tenured members of the evaluated faculty member's home department; however, when circumstances dictate, other choices may be made. Ideally, the members of the Committee should be faculty whose rank is equal to or higher than that sought by the candidate but other choices may be made by the Department Chair to ensure disciplinary representation. Faculty members in phased retirement are eligible to serve.

In a three-person department, the third department member is automatically appointed to the Committee unless he or she is also being considered for tenure and/or promotion or contract renewal. Prohibited from serving on a Peer Evaluation Committee are the Department Chair of the faculty member's department, members of the Promotion and Tenure Committee, and any faculty member undergoing contract renewal or tenure and/or promotion evaluation during the same academic year.

By September 7, the Department Chair must send a letter notifying Peer Evaluation Committee members of their appointment, and the time and date of an initial meeting, with copies to the candidate, the Dean, and the Provost and Vice Chancellor for Academic Affairs. The Department Chair will submit the candidate's materials to the Peer Evaluation Committee.

The Department Chair's Evaluation Report for tenure and promotion decisions should include information from classroom observations each lasting at least 30 minutes in two separate courses. If the faculty member is teaching online, provisions must be made for observation of online teaching. (See Online Course Management Policy and Procedures, Part 1.d available from the website for the Office of Academic Affairs at <http://www.uncp.edu/about-uncp/administration/departments/academic-affairs/policies-and-procedures>).

The Department Chair must prepare a report and make a recommendation for tenure and/or promotion. In completing this report, the Department Chair considers the faculty member's self-evaluation, including his/her selected area weights, supporting documentation, student evaluations, and classroom observations. Other input from students, colleagues, external sources, optional external reviews if provided by the Peer Evaluation Committee, student evaluations for the full period under consideration, and classroom observations. Other input from students, colleagues, external sources, and University administrators may also be used judiciously, if deemed reliable. The Standard Performance Rating Scale is to be followed in making the final recommendation. See the Format for Evaluation Reports for the areas to be addressed in the Chair's Evaluation Report for tenure and/or promotion. The Chair's report should contain sufficient details to justify the Chair's recommendation concerning tenure and/or promotion.

The Department Chair provides the faculty member with two completed, signed, and dated copies of the Chair's Evaluation Report, including a completed Tenure, Promotion, and Renewal Form, for the faculty member's review and signature. The Department Chair at that time conducts a conference with the faculty member to explain the report, receive feedback, and discuss future directions. Finally, within three days of the conference the Department Chair obtains the signature of the faculty member on one set of copies that becomes part of the Department Chair's full report. When a faculty member signs and returns any evaluation report, such action shall indicate merely that the faculty member acknowledges being apprised of its contents, not that he or she agrees with it. The Chair's Evaluation Report is forwarded to the Dean of the relevant school or college by November 8.

### **Responsibilities of the Peer Evaluation Committee**

Under the guidance of its chair, the Peer Evaluation Committee is charged with preparing and submitting a Peer Evaluation Report based on the following items: the portfolio submitted by the faculty member undergoing evaluation for tenure and/or promotion, classroom observations, and external review if necessary.

A Peer Evaluation Committee's first task is to elect a chair, who then notifies the Department Chair of his or her election. The Committee chair is responsible for conducting meetings, insuring that all pertinent provisions of the Faculty Evaluation Model are followed, using standard parliamentary procedure in reaching all major decisions, insuring confidentiality of the proceedings, and preparing and distributing the Committee's report. The Department Chair assists the peer evaluation process, but the Chair's

evaluation and Peer Evaluation Committee's work proceed independently. By September 17, the Department Chair provides to the chair of the Peer Evaluation Committee the candidate's portfolio.

At least two members of the Committee must conduct classroom observations of the candidate's teaching. To promote reliability, a set of classroom observations should consist of at least one observation lasting at least 30 minutes in two separate courses by each observer. If the faculty member is teaching online, provisions must be made for observation of online teaching. (See Online Course Management Policy and Procedures which can be accessed at <http://www.uncp.edu/about-uncp/administration/departments/academic-affairs/policies-and-procedures>). Observers submit an oral or written report of their observations to the Committee. The Committee's final report weighs and integrates these reports but does not incorporate them verbatim.

External review of scholarly work is not typically required for the Peer Evaluation Committee report. However, the Peer Evaluation Committee is obligated to initiate an external review under two circumstances: (a) if the candidate requests such review or (b) if, during the course of its deliberations, the Peer Evaluation Committee discovers that some scholarly works require external review. The candidate is responsible for providing an outline of the specialty areas involved and the materials that pertain to each specialty area and a list of potential reviewers for each specialty area (see discussion above in the section on "Responsibilities of the Faculty Member Being Evaluated"). The Committee is responsible for selecting from the candidate's list three or more external reviewers for each set of materials, soliciting and receiving the external reviews, attaching these reviews to the candidate's portfolio, and providing a copy of the reviews to the Department Chair. If adjustments must be made to the slate of external reviewers, the candidate, the Department Chair, and the Peer Evaluation Committee must agree to these adjustments.

In the decision process of the Peer Evaluation Committee, the Standard Performance Rating Scale is used as a general guide. The Committee should strive for consensus in developing its conclusions, and its report (including the completed Tenure, Promotion and Renewal Form) must reflect a majority opinion. Nevertheless, a member of a Peer Evaluation Committee is obligated to object to any procedure believed to violate the provisions of the Model or to any conclusion believed to be inaccurate. The Committee should then deliberate these objections, consulting the Model as appropriate. When an issue cannot be resolved to each member's satisfaction, the Committee is obligated to investigate the matter more fully. Inquiries can be made to the candidate, the Department Chair, the Faculty Evaluation Review Committee, or the Office for Academic Affairs at any time keeping in mind the need for the Committee's deliberations to occur independently of other evaluators. When a minority member disagrees with the majority's final action on any matter and believes that the overall evaluation has been affected, he or she is obligated to submit a narrative minority report detailing his or her position.

The Committee's report consists of a narrative Peer Evaluation Report or approved substitute, including area weights from the candidate's Self-Evaluation Report as completed for tenure and/or promotion; a Tenure, Promotion, and Renewal Form and any minority report. The Committee chair prepares the report, obtains the signatures of other members on the Tenure, Promotion, and Renewal Form, and provides the candidate with signed and dated copies of the Peer Evaluation Report and of the Tenure, Promotion, and Renewal Form. Within three days, the Committee chair obtains the candidate's signature on one copy of the Peer Evaluation Report and the Tenure, Promotion, and Renewal Form. The signed copies the Committee's final report are submitted to the Dean of the relevant school or college, along with all the candidate's materials, by November 8.

When a faculty member signs and returns any evaluation report or form, such action shall indicate merely that the faculty member acknowledges being apprised of its contents, not that he or she agrees with it.

### **Responsibilities of the Dean**

The Dean will read the Department Chair's Report, the Peer Evaluation Committee's Report, all attached materials, and any rebuttal submitted directly to the Dean. The Dean then completes the Dean's Report for Tenure/Promotion. That form will serve as a cover letter to the report package and will include as attachments the Chair's Report, the Peer Evaluation Committee's Report, any rebuttals, and the candidate's materials. Within three days, the faculty member being evaluated will sign the Dean's Report, acknowledging having seen it, but not necessarily agreement with it. The faculty member will retain one copy of the signed Dean's Report.

The Dean will then forward his or her report, by December 15, with attached materials (Chair's report, Peer Evaluation Committee's report, rebuttals, and the candidate's materials), to the Promotion and Tenure Committee, via the Office for Academic Affairs. In the event that the Dean's recommendation does not agree either with that of the Department Chair or of the Peer Evaluation Committee, the Dean shall justify that decision with appropriate comments on the Dean's Report for Tenure/Promotion form. The faculty member shall have the right to rebut comments made on the Dean's Report form; such rebuttal shall be submitted to the Promotion and Tenure Committee via the Office of Academic Affairs.

### **Responsibilities of the Promotion and Tenure Committee**

The Promotion and Tenure Committee receives the Chair's Evaluation Report, the Peer Evaluation Report, the Dean's Report, (plus any rebuttals of these), and the candidate's portfolio from the Provost and Vice Chancellor for Academic Affairs. The Committee may request any additional information that it deems necessary. It examines all facets of the application, reaches an equitable final decision in accordance with the provisions of the Faculty Evaluation Model, prepares a report on the candidate, and completes a Tenure, Promotion, and Renewal Form.

A candidate's record should be evaluated in terms of documents submitted to the Committee and using the area weights given on the Self-Evaluation Report (as completed for tenure and/or promotion). The Committee may consult with the candidate, the Department Chair, the chair of the Peer Evaluation Committee, and administrators to obtain additional information about a candidate, as it deems appropriate. When a candidate has submitted a rebuttal to a Chair's Evaluation Report or Peer Evaluation Report, the Promotion and Tenure Committee is obligated to consider it. If the Committee finds probable cause for concern, it should instruct the parties involved to submit, in a timely manner, either a counter-rebuttal or a corrected report. In the event of a counter-rebuttal, the matter should be pursued to a satisfactory resolution.

The Committee's final recommendation, as indicated on the Tenure, Promotion, and Renewal Form, should be an independent judgment based on a synthesis of the overall record. The Committee is to use the Standard Performance Rating Scale as a general guide, and it should strive for consistency over time. In the interest of fairness to candidates for tenure, the Committee should give very strong consideration to a set of consistently favorable annual evaluations from the Department Chair during the years prior to the tenure decision. In such cases, the Committee should have very compelling countervailing evidence to justify a recommendation against tenure and/or promotion. The Committee should also give strong consideration to norms in the candidate's discipline as represented in the Peer Evaluation Report, the Department Chair's Report, and any optional external reviews.

After reaching a final decision on tenure and/or promotion, the Committee, as directed by the chair, prepares a draft report. This consists of a narrative Tenure and Promotion Report following the Guidelines for Evaluation Reports; any rebuttals, counter-rebuttals, or corrected reports from the Department Chair or Peer Evaluation Committee; and a completed Tenure, Promotion, and Renewal Form. If either the Chair or Vice Chair has abstained from a case, the non-abstaining party prepares the preliminary draft of the final report. The Committee deliberates on this draft until a majority approves it. The report must

provide detailed support for the majority's decision. The approved Tenure and Promotion Report, along with all other reports and the candidate's materials, should be submitted within 14 days, no later than April 1, to the Provost and Vice Chancellor for Academic Affairs, and, at the same time, a copy of this advisory report sent to the candidate under consideration for tenure and/or promotion. Members may submit minority reports that are appended to the approved reports submitted to the faculty member and to the Provost. If the faculty member has received an unfavorable report from the Promotion and Tenure committee, the faculty member may submit a rebuttal to the Office for Academic Affairs within ten business days of receiving the report.

### **Responsibilities of the Provost and Vice Chancellor for Academic Affairs**

The Provost and Vice Chancellor for Academic Affairs shall receive and distribute all materials from the Department Chair, Peer Evaluation Committee, Dean of the faculty member's school or college, Promotion and Tenure Committee, and the faculty member being evaluated. Upon receipt of the Tenure and Promotion Report, the Provost and Vice Chancellor for Academic Affairs considers all recommendations and supporting materials. Further consultations with the candidate or any of the participants in the evaluation process may be conducted.

The Provost and Vice Chancellor submits a final recommendation to the Chancellor no later than May 1, accompanied by all of the evaluation materials received, and at the same time, sends the candidate under consideration for promotion or tenure an unelaborated statement of this recommendation. The Provost and Vice Chancellor for Academic Affairs is responsible for informing the candidate of the final action taken by the Chancellor, the vote of the Promotion and Tenure Committee, and any additional details that are deemed beneficial to a consistent and equitable evaluation process. The Provost and Vice Chancellor for Academic Affairs will return the candidate's materials to him or her at the conclusion of the evaluation process.

### **Responsibilities of the Chancellor**

The Chancellor receives, reviews, and acts upon all evaluative materials provided by the Provost and Vice Chancellor for Academic Affairs. After reviewing the materials produced by the final evaluation process, the Chancellor takes action regarding salary and employment.

### **Procedures for Contract Renewal Evaluations and Advisory Evaluations of Untenured Tenure-Track Faculty**

Tenure-track faculty members receive a comprehensive contract renewal evaluation in their first year of employment at the University according to the Calendar found below. In subsequent years, a major evaluation for untenured faculty is optional at the discretion of the faculty member or Department Chair. These evaluations, if initiated by the Department Chair, may be for cause or, at the discretion of either the faculty member or Chair, may be advisory in nature. Peer evaluations of visiting faculty are at the option of the Department Chair, the appropriate Dean, and the Provost and Vice Chancellor for Academic Affairs.

The procedures for these evaluations generally follow the procedures specified for tenure and/or promotion. Faculty members undergoing contract renewal evaluations are to collect student evaluations of their courses. Observation of teaching by the Department Chair and by members of the Peer Evaluation Committee is even more important to the evaluation process.

The faculty member being evaluated for an initial contract renewal must submit the materials listed below in a three-ring binder divided into seven sections labeled with headings. Portfolios submitted for contract renewal evaluations subsequent to the initial probationary evaluation should also include a section for copies of signed Department Chair annual evaluations.

1. A copy of the completed Peer Evaluation Nomination Form

2. A current Curriculum Vitae
3. A Self Evaluation Report
4. Student Evaluation Reports for all courses evaluated during the evaluation period. In case of a one-year contract renewal, the Department Chair will provide these reports to the Peer Evaluation Committee by the Department Chair as the evaluation period begins before the end of the first semester. (See Calendar below).
5. Documentation of effectiveness in teaching: Include course syllabi for a selection of courses taught at UNCP and course materials (selected assignments, handouts, PowerPoint slides, tests, student work, etc.) for one General Education course (if applicable), one upper division course (if applicable), and one graduate course (if applicable).
6. Documentation of scholarship and other professional activity in the faculty member's discipline: Include conference papers/posters, publications, reviews, books, creative work, recordings, programs, conferences attended, copies of works in progress.
7. Documentation of service: Include relevant materials that illustrate significant contributions.

The Department Chair completes a Chair's Evaluation Report and submits the report as described in the section on "Procedures for Tenure and/or Promotion Evaluation." The Peer Evaluation Committee (if convened) submits a Peer Evaluation Report as described in the section on "Procedures for Tenure and/or Promotion Evaluation." The Dean of the relevant school or college reviews the reports from the Chair and the Peer Evaluation Committee as well as any rebuttals by the faculty member. The Dean then completes the Dean's Report of Contract Renewal Evaluation and submits it with all supporting materials to the Provost and Vice Chancellor for Academic Affairs.

The Provost and Vice Chancellor for Academic Affairs reviews all the evaluative materials and recommends to the Chancellor whether or not to reappoint the candidate. The Chancellor makes the final decision on reappointment. Conditions governing non-reappointment are listed in the Faculty Handbook, Section II, Chapter 1; note that the faculty member's competence is not the only factor considered in reappointment decision. *The Code of the Board of Governors of the University of North Carolina* also specifies deadlines for notification of non-reappointment.

A tenure-track faculty member or his/her Department Chair may initiate an advisory evaluation any time during the tenure-track process. Such evaluations are proactive steps to help faculty members improve performance and become more able to achieve tenure. The Department Chair may appoint a Peer Evaluation Committee as part of advisory evaluations. If advisory evaluations are conducted, the Committee should identify aspects of the faculty member's performance that may present problems when a tenure decision is due. Advisory evaluations have no formal consequences for decisions about contract renewal, tenure, or promotion.

#### **Procedures for Evaluation of Full-Time Non-Tenure Track Faculty**

Full-time non-tenure track faculty receive a major evaluation in their first year of employment at the University following the Calendar of Events for One-Year Contract Review of Non-Tenure Track Faculty. Non-tenure track faculty may perform service but their main responsibility is teaching. As such, the portfolio materials and self-evaluation submitted for the one-year contract review evaluation will focus on those two areas. (See section entitled "Full-Time Appointments, Lecturer, Senior Lecturer, Adjunct, and Visiting Faculty.") In subsequent years, a major evaluation for non-tenure track faculty is optional at the discretion of the faculty member or Department Chair.

Non-tenure-track faculty members will be evaluated annually just as all other faculty members are. After the first year of employment at the University, non-tenure-track faculty receive major advisory evaluations at the discretion of the faculty member or Department Chair. Peer evaluations for non-tenure-

track faculty (including visiting faculty) may be included in this process at the option of the Department Chair and the appropriate Dean.

Non-tenure track faculty members are not covered by Section 604 of *The Code of the Board of Governors of the University of North Carolina*; however, during the term of their employment, Lecturers, Senior Lecturers, Adjunct and Visiting faculty have the right to seek recourse through UNC Pembroke grievance processes, for redress of grievances concerning discharge, academic freedom, salary adjustment, or other conditions of work.

### **Procedures for Evaluation of Tenured Faculty (Post-Tenure Review)**

Tenured faculty must undergo a cumulative review process every five years following the award of tenure (or following the award of promotion, if such review occurs within the five-year period after tenure review). Post-tenure review evaluates all aspects of performance including teaching, scholarship, and service.

In consultation with department chairs, faculty shall develop five year goal(s) or plans that should include milestones that are aligned with annual performance evaluation. These plans can be modified annually by the faculty member, in consultation with the department chair.

Waiver of the periodic performance evaluation review may be granted by the Provost for faculty who have made an official decision to retire within two years from the date the review is scheduled to begin. Request for the waiver should be made in writing by the faculty member and must include notice of the confirmed date of retirement. In the event that personal or departmental exigencies create circumstances that warrant a delay in the planned retirement date, the faculty member must complete the performance evaluation review in the next year.

Faculty members' performance will be evaluated relative to the mission of UNCP. The purpose of this review is to support and encourage excellence among tenured faculty by (a) continuing tenure for faculty whose performance has been found to "meet or exceed expectations," (b) providing a clear plan and a specified time line of not more than three years for improvement of performance of faculty whose performance has been found ~~unsatisfactory~~ to "not meet expectations," and (c) for those whose performance continues to "not meet expectations," providing for the imposition of appropriate sanctions, which may include a recommendation for discharge in the most serious cases of incompetence.

In response to the July 7, 2014, request of the Board of Governors and General Administration of The University of North Carolina, the Faculty Evaluation Review Subcommittee (FERS) of the University of North Carolina at Pembroke has revised this document outlining UNC Pembroke's post-tenure review process. It is felt that this document adheres not only to (1) UNC Policy 400.3.3 Performance Review of Tenured Faculty, Revised June 20, 2014; (2) UNC Policy 400.3.3 [G] Guidelines on Performance Review of Tenured Faculty, Revised June 20, 2014, and (3) Chapter VI of *The Code of the Board of Governors of The University of North Carolina*, but that it also parallels and reflects the basic tenets of the Faculty Evaluation Model as found in the UNCP Faculty Handbook. It must furthermore be noted that nothing in this Post-Tenure document prohibits the Provost and Vice Chancellor for Academic Affairs and the Chancellor from making personnel decisions and taking personnel actions relative to reappointment, non-reappointment, and dismissal of faculty in warranted cases as indicated by the dismissal, non-reappointment, and termination policies of the University of North Carolina at Pembroke (UNCP Faculty Handbook, Section II, Chapter 1) and *The Code of the Board of Governors of the University of North Carolina*.

In the words of the Executive Summary of the Report of the University of North Carolina Committee to Study Post-Tenure Review that was approved by the UNC Board of Governors on 16 May 1997, "Post-

tenure review is a comprehensive, formal, periodic evaluation of cumulative faculty performance, the prime purpose of which is to ensure faculty development and to promote faculty vitality” (I). This document further states that "institutional policies shall explicitly involve peers in the review process." In addition, it was noted in that report that the recommendations contained therein were intended "to strengthen the system of tenure and academic freedom while assuring on-going quality in the teaching, research, and service mission of the University of North Carolina."

Thus presented below are the necessary 1) principles and criteria upon which the UNCP post-tenure review process is based, 2) principles governing the roles of individuals and groups, 3) evaluation procedures to be followed, 4) forms needed for the cumulative evaluation of tenured faculty, 5) a calendar of events for cumulative evaluation of tenured faculty, and 6) a specified time line of not more than three academic years for the implementation of the review process.

### **Principles and Criteria**

Faculty at The University of North Carolina at Pembroke who are tenured must undergo the cumulative review process outlined below every five years. The purpose of this review is to support and encourage excellence among tenured faculty by (a) continuing tenure for faculty whose work is found satisfactory, (b) providing a clear plan and a specified time line of not more than three academic years for improvement of performance of faculty found unsatisfactory, and (c) for those whose performance remains unsatisfactory, providing for the imposition of appropriate sanctions, which may include in the most serious cases of incompetence a recommendation for discharge. ("A faculty member, who is the beneficiary of institutional guarantees of tenure, shall enjoy protection against unjust and arbitrary application of disciplinary penalties. During the period of such guarantees the faculty member may be discharged or suspended from employment or diminished in rank only for reasons of incompetence, neglect of duty or misconduct of such nature as to indicate that the individual is unfit to continue as a member of the faculty." (*The Code of the Board of Governors of the University of North Carolina*, Section 603(1), <http://www.northcarolina.edu/policy/index.php>.)

All UNCP faculty are evaluated annually in three areas (teaching, scholarship, and service) according to a four-category Standard Performance Rating Scale. This annual review includes a(n) (a) Self-Evaluation Report, (b) Student Evaluation Report, (c) Chair's Evaluation Report, (d) Chair's Annual Merit Salary Increase Recommendation, (e) Dean's Recommendation for Annual Salary Increase, and (f) recommendation of the Provost and Vice Chancellor for Academic Affairs. In addition to these reports, Evaluations for Contract Renewal and Evaluations for Tenure and/or Promotion include a Peer Evaluation Report. The latter of these evaluation processes also includes a Tenure and Promotion Evaluation Report. The comprehensive, periodic, cumulative review process outlined herein for tenured faculty in no way detracts from, replaces, or diminishes the importance and significance of this annual performance review. Furthermore, a comprehensive review undertaken for promotion decision purposes may preclude the need for the cumulative review process outlined in this document until the fifth year following such review. As is true for all phases of the UNCP faculty evaluation model, a faculty member has the right to receive written feedback and to submit a rebuttal to any aspect of reports submitted by Deans, Department Chairs or Peer Evaluation Committees.

Written feedback from the Department Chair and Dean should include recognition for exemplary performance. A negative review must include a statement of the faculty member's primary responsibilities and specific detailed descriptions of shortcomings as they relate to the faculty member's assigned duties. Any faculty response to a negative review will be forwarded with the packet to all subsequent levels of review.

In situations where a faculty member has received a rating of "does not meet expectations," an individual development or career plan will be created that includes (a) specific steps designed to lead to

improvement, (b) a specified time line in which improvement is expected to occur, and (c) a clear statement of consequences should adequate improvement not occur within the designated time line. These consequences may include dismissal as allowed by the UNC Code, 603 (1). During the period allowed for improvement, the Department Chair or Dean (in the case of a Department Chair) will meet with the faculty member on at least a semi-annual basis to review progress toward meeting the development plan's specifications. If the faculty member's duties are modified as a result of "does not meet expectations" rating, the revised duties are specified in the development plan.

All phases of this evaluation process are to be guided by the principles set forth in the UNCP Faculty Evaluation Model (UNCP Faculty Handbook). Thus all "Principles and Criteria" relevant to faculty evaluation detailed in that document are also relevant to the post-tenure evaluation process and consequently are not repeated in this present document. These include principles and definitions, criteria, and documentation for the evaluation of teaching, scholarship, and service.

### **Principles Governing the Roles of Individuals and Groups for Post-Tenure Review** **The Faculty Member Being Evaluated**

All tenured faculty will undergo a cumulative review process every five years following the award of tenure. If during that period, the tenured faculty member is promoted, this cumulative review will not be necessary until the fifth year following the promotion review. When tenured faculty apply for promotion and undergo post-tenure review at the same time, separate decisions will be made on each using the appropriate forms to record those decisions. As indicated in the UNCP Faculty Evaluation Model, the faculty member's self-evaluations should be "a primary source of information about the goals, methods, and degrees of success associated with his or her performance." As is also stated therein, the annual weights assigned to each area by the individual being evaluated are to be taken into account by subsequent evaluators. Furthermore, the candidate has the right to submit a rebuttal pertaining to any aspect of the reports submitted by the Department Chair or the Peer Evaluation Committee or Dean.

### **Students**

As is the case with all evaluation procedures at UNCP, student evaluations play a prominent role in evaluating the faculty member's teaching. However, they do not by themselves provide sufficient information to judge fully a faculty member's performance as a teacher.

### **The Peer Evaluation Committee**

The department or unit selects the Peer Evaluation Committee by a process agreed upon by the tenured faculty within the department or unit. The faculty member being evaluated cannot make the final selection of Committee members. The Peer Evaluation Committee is responsible for evaluating submitted materials, assessing their implications, and formulating a coherent evaluation of the faculty member's performance. The Peer Evaluation Committee is responsible for preparing and submitting a Peer Evaluation Report using the Format for Peer Evaluation Committee's Post-Tenure Report. This report will include a narrative and an overall performance rating. In the case of a negative review, specific detailed descriptions of shortcomings as they relate to the faculty member's assigned duties must be provided in the narrative. The Chair of the Peer Evaluation Committee obtains the evaluated faculty member's signature on the report and submits the report to the Dean of the faculty member's college or school. Following delivery of the Peer Evaluation Committee's report to the evaluated faculty member, the Department Chair (or Dean for the evaluation of the Department Chair) must consult with the Committee before sending the materials to the next level of review..

### **The Department Chair (or Dean for the evaluation of Department Chairs)**

The Department Chair (Dean of the Chair's school or college for evaluation of Department Chairs), subsequent to the completion of the Peer Evaluation Committee Evaluation and consultation with the Peer Evaluation Committee, is responsible for writing his/her own report (see Format for Chair's Post-Tenure

Report), obtaining the evaluated faculty member's signature on the report and submitting this document to the Dean of the faculty member's college or school. This report will include a narrative and an overall performance rating. In the case of a negative review, specific detailed descriptions of shortcomings as they relate to the faculty member's assigned duties must be provided in the narrative. The Chair (or Dean for the evaluation of Department Chairs) must consult with the Peer Evaluation Committee before submitting his/her report.

#### **The Dean of the Faculty Member's School or College**

The Dean will review the reports from the Chair and from the Peer Evaluation Committee as well as supporting materials and any rebuttals. The Dean will assess the performance of the faculty member based on the materials presented and will complete the Dean's Report using the Format for Dean's Report for Post-Tenure Review. The Dean will give the faculty member a copy of the Dean's report and submit that report, with all attached materials, to the Provost and Vice Chancellor for Academic Affairs.

#### **The Provost and Vice Chancellor for Academic Affairs**

Based on the materials submitted by the Dean, the Provost and Vice Chancellor for Academic Affairs is responsible for taking appropriate actions concerning the status of each tenured faculty member who has undergone the cumulative review process. (For further information regarding the responsibilities of the Provost and Vice Chancellor for Academic Affairs, see the section below on "Evaluation Procedures"). The Provost and Vice Chancellor for Academic Affairs, in consultation with the faculty member, the faculty member's Department Chair (or Dean for Department Chairs), and the Dean of the relevant college or school, will also be responsible for constructing, monitoring, and evaluating a "meets or exceeds expectations" level of completion of any plan for improvement of performance for any faculty member whose performance has been judged to "not meet expectations." The Provost must certify that all aspects of the post-tenure review process are in compliance with policy and guidelines.

#### **The Chancellor**

After reviewing the materials produced by this evaluation process, the Chancellor takes actions as deemed appropriate. In situations where a tenured faculty member has received a rating of "does not meet expectations," and the identified deficiencies are not removed in the specified period of time, the Chancellor may impose sanctions, which may include discharge as allowed by *The Code of the Board of Governors of the University of North Carolina*, Section 603 (1).

#### **Evaluation Procedures**

The cumulative evaluation for tenured faculty provides a basis for the support and encouragement of excellence among tenured faculty by (a) continuing tenure for faculty whose work is found to "meet or exceed expectations," (b) providing a clear plan and a specified time line of not more than three academic years for improvement of performance of faculty found to "not meet expectations," and (c) for those whose performance "does not meet expectations," providing for the imposition of appropriate sanctions, which can include a recommendation for discharge. All tenured faculty will undergo this cumulative review process every five years. If during that period, the tenured faculty member is evaluated for promotion, this cumulative review may not be necessary until the fifth year following the conclusion of that process. The cumulative review process includes the faculty member, the Peer Evaluation Committee, the Department Chair (or Dean of the relevant college or school in the case of the evaluation of Department Chairs), the Dean of the faculty member's college or school, the Provost and Vice Chancellor for Academic Affairs, and the Chancellor. The institution will provide ongoing support and training for all post-tenure evaluators, including peer review committee members, department chairs or deans. The Provost will certify that required training has been conducted

At the point in time when the cumulative evaluation for tenured faculty process is to begin, the faculty member involved will be so notified in writing by his/her Department Chair or by the Dean of the relevant

college or school if the review involves the Department Chair (see Calendar of Events below). The faculty member will subsequently submit to his or her Department Chair (Dean of relevant college or school for the evaluation of the evaluation of Department Chairs) a copy of (a) Self Evaluations for the previous five years, (b) Student Evaluation summaries for the previous five years, (c) Chair Evaluations for the previous five years, (d) Dean's annual evaluation reports for the previous five years, (e) any additional information since the last annual evaluation that is deemed pertinent, and (f) a completed copy of the Peer Evaluation Committee Nomination Form . In the initial stages of this process, these various materials might be collected from a variety of sources (the faculty member's own copies, copies in the possession of the Department Chair, and/or copies in the possession of the Office for Academic Affairs).

The Department Chair (or Dean for Department Chairs) then (a) appoints three faculty members to the Peer Evaluation Committee in the manner described above, (b) calls this group together for its initial meeting in order to orient the members to the process, and (c) makes available to the members the materials cited above.

The responsibilities of the Peer Evaluation Committee will be consistent with those described in the sections above on other evaluation processes. The Peer Evaluation Committee and the Department Chair (Dean of relevant college or school for the evaluation of Department Chairs), working independently of each other, are responsible for preparing and submitting a Post-Tenure Evaluation Report using the appropriate format (available from the website for the Office of Academic Affairs at <http://www.uncp.edu/aa/forms/>) to the Dean of the faculty member's college or school and, through the Dean, to the Provost and Vice Chancellor for Academic Affairs. These reports, based on the various documents that have been submitted, will include a rating of the overall performance of the faculty member as "exceeds expectations, meets expectations or does not meet expectations," and a narrative justification. The faculty member undergoing this cumulative post-tenure review process will be given two completed, signed, and dated copies of each of these reports (the Peer Evaluation Committee's report and the Department Chair's report). Within three days, the faculty member being evaluated returns one copy that has been signed and dated. This signature indicates merely that the faculty member acknowledges being apprised of its contents, not that he/she agrees with it. In all cases, the faculty member being reviewed may submit a rebuttal to the Dean within ten business days of having received these reports. The respective Chair (Peer Evaluation Committee or Department) submits these two reports to the Dean of the faculty member's school or college.

The Dean of the relevant college or school will review the reports from the Department Chair (if the evaluated member is not the department Chair) and the Peer Evaluation Committee, including supporting materials and any rebuttals submitted by the evaluated faculty member being evaluated. The Dean will then complete the Dean's Report for Post-Tenure Review, including his or her evaluation of the faculty member's performance as "exceeds expectations, meets expectations or does not meet expectations." The Dean's report will serve as a cover letter to the Provost and Vice Chancellor for Academic Affairs and will include as attachments the reports from the Department Chair and from the Peer Evaluation Committee along with all supporting documents. Within three days, the faculty member will sign the Dean's report, acknowledging having seen it but not necessarily agreement with it. The faculty member will retain one copy of the signed Dean's Recommendation. The Dean will then forward his or her report, with the attached materials, to the Provost and Vice Chancellor for Academic Affairs.

If the Dean does not agree with the evaluation of the Chair and/or the Peer Evaluation Committee, the Dean must justify that judgment with appropriate comments. The faculty member has the right to submit a rebuttal to the Dean's evaluation within ten business days of signing the report.

The Provost and Vice Chancellor for Academic Affairs will review all documents, reports, and supporting materials. In the event that the ratings in the reports submitted unanimously indicate "does not meet

expectations,” the Provost and Vice Chancellor for Academic Affairs will communicate this finding in writing to the faculty member, the Department Chair (unless the faculty member is the Department Chair), and the Dean of the faculty member’s college or school. It will be responsibility of the Department Chair (or Dean if the faculty member concerned is the Department Chair), in collaboration with the faculty member evaluated, to draw up an individual development or career (remediation) plan. The plan will include steps designed to lead to improvement in the faculty member’s performance to a “meets expectations” level, a specified time frame of not more than three academic years in which this improvement is to occur, and a clear statement of consequences should improvement to a “meets expectations” level of performance not occur within the specified time frame. After review and concurrence by the Dean of the faculty member’s college or school, the plan will be submitted to the Provost and Vice Chancellor for Academic Affairs, who must approve the plan, taking into account the need for institutional resources to support the faculty member’s efforts to remediate identified deficiencies in his or her performance.

At the end of the time period specified in the remediation plan, the Provost and Vice Chancellor for Academic Affairs, in consultation with the faculty member’s Department Chair (Dean, if the faculty member is a Department Chair), and Dean of the faculty member’s college or school, will determine if the provisions of the plan have been met. If so, the faculty member will be judged to have “met expectations” in performance for the current post-tenure review cycle. Note that the existence of a remediation plan does not defer or postpone any succeeding post-tenure review. If the provisions of the remediation plan have not been met and the required improvement not occurred, the Provost and Vice Chancellor for Academic Affairs shall recommend sanctions to the Chancellor, under the provisions of University policy on Discharge and the Imposition of Serious Sanctions and *The Code of the Board of Governors of the University of North Carolina*. Such sanctions may include reduction in rank, discharge, or other disciplinary action.

If performance ratings unanimously indicate satisfactory performance or if there is disagreement among the reports on the satisfactory or unsatisfactory performance of the faculty member being evaluated, the Provost and Vice Chancellor for Academic Affairs will accept the performance review report with no further action. In the case where a faculty member’s performance is found to be unsatisfactory, the Provost will take appropriate action (s). If any elements of unsatisfactory performance have not been improved to a satisfactory level in the specified period, the Provost’s action may include discharge as specified by *The Code of the Board of Governors of the University of North Carolina* Section 603 (1).

If performance ratings unanimously indicate meets or exceeds expectations performance or if there is disagreement among the reports on the performance of the faculty member being evaluated, the Provost and Chancellor for Academic Affairs will accept the performance review report with no further action. In the case where a faculty member’s performance is found to “not meet expectations,” the Provost will take appropriate action (s). If any elements of performance that “do not meet expectations” have not been improved to a “meets or exceeds expectations” level in the specified period, the Provost’s action may include discharge as specified by *The Code of the Board of Governors of the University of North Carolina* Section 603 (1).

### **Evaluation of Department Chairs**

Each Department Chair is evaluated annually by the Dean of his or her college or school. Procedures parallel those for annual evaluations of all faculty, except that the duties normally carried out by the Department Chair are handled by the Chair’s Dean (see the section above on “Procedures for Annual Evaluation”). A Chair is evaluated in terms of teaching, scholarship, and service using area weights deemed appropriate for the department. There will, of course, be no merit salary increase recommendation from the Department Chair. As part of the annual evaluation of the Chair’s faculty responsibilities, the Dean will schedule a conference with each Chair to discuss the Dean’s evaluation of

the Chair's performance. The Dean will prepare a written annual evaluation report and present it to the Department Chair at least three days before the annual evaluation conference is to be held. At the evaluation conference, the Department Chair signs the evaluation report and receives a copy.

In evaluating a Chair's performance both as a faculty member and as an administrator, the Chair's Dean considers direct knowledge of the Department Chair's administrative performance, input from other administrators, and input from faculty, as well as documentation submitted by the Department Chair. The Dean takes in account Department Chairs' administrative responsibilities as part of the Department Chairs' annual evaluation, although formal faculty assessments are not collected each year. Departmental Chairs' administrative responsibilities are assessed as part of the procedure for renewable terms for Department Chairs (Faculty Handbook, Section II, Chapter 4). Briefly, the Dean evaluates Chairs in the second year of service as Chair. At this time, the Dean will seek input from the faculty concerning performance of the Chair's administrative responsibilities and will distribute evaluation forms (available at the website for the Office of Academic Affairs at <http://www.uncp.edu/about-uncp/administration/departments/academic-affairs/forms>) to each full-time faculty member in the department. The forms will be returned directly to the Dean.

Department Chairs who may be candidates for tenure and/or promotion will be evaluated under the tenure and promotion procedures in Section II, Chapter 3. The Chair's Dean will carry out the duties normally the responsibility of the Department Chair. Necessarily, however, there will be no recommendation from the Department Chair regarding the tenure and/or promotion decision.

Department Chairs will receive a contract renewal evaluation based on rank and initial contract length just as any other probationary faculty member does (see Section II, Chapter 1). Procedures normally the responsibility of the Department Chair will be handled by the Chair's Dean. Necessarily, however, there will be no recommendation from the Department Chair regarding reappointment.

Any Department Chair, just as any other faculty member, can call for an advisory evaluation. The Provost and Vice Chancellor for Academic Affairs may request advisory evaluations. Advisory evaluations have no formal consequences for decisions about contract renewal, tenure, or promotion.

Department Chairs are appointed for terms of four years. They may be continued in the Chair's position. Procedures for appointment and for evaluation of Chairs with respect to term continuation and renewal are specified in the Faculty Handbook, Section II, Chapter 4.

#### **Forms for Use in the Faculty Evaluation Process**

The following forms related to faculty evaluation are available at the website for the Office of Academic Affairs at <http://www.uncp.edu/about-uncp/administration/departments/academic-affairs/forms>

- Format for Evaluation Reports
- Peer Evaluation Committee Nomination Form
- Peer Evaluation Committee Request Form for Post-Tenure Review
- Tenure, Promotion, and Renewal Form
- Student Evaluation of Instruction
- Annual Merit Salary Increase Recommendation Form
- Standard Performance Rating Scale
- Department Chair Evaluation Form
- Format for Peer Evaluation Committee's Report for Post-Tenure Review
- Format for Department Chair's Report for Post-Tenure Review
- Format for Dean's Report for Probationary Contract Review
- Format for Dean's Recommendation for Annual Salary Increase
- Format for Dean's Report for Tenure/Promotion
- Format for Dean's Report for Post-Tenure Review

### **Calendars of Events for Evaluation**

#### **Typical Calendar of Events for Annual Evaluations**

The events listed below are intended as guidelines only; dates are approximate and may be altered as conditions warrant. Specific policies and procedures are found in the full Faculty Evaluation Plan.

<b>DATE</b>	<b>EVENT OR DOCUMENT</b>
August 14 - April 14	Area Weight Discussion: A faculty member can discuss at any time before submitting the Self-Evaluation Report the area weights to be assigned to specific areas of evaluation.
December	Fall Student Evaluation: All faculty scheduled for student evaluations in the fall semester should conduct these evaluation the last week of class. Department chairs compile Student Evaluation Reports.
April 1-14	Spring Student Evaluation: Faculty scheduled for student evaluations in the spring semester should conduct these evaluations during April 1 to April 14. See section above on "Student Evaluation of Instruction" for discussion of the schedule of student evaluations. The Department Chair is responsible for compiling a summary of student evaluations.
April 14	Submission of Self-Evaluation Report: A faculty member should submit his or her Self-Evaluation Report to the Department Chair by April 14.
April 14 - May 1	Annual Chair's Evaluation Report and Faculty Conference: The Department Chair will prepare an annual Chair's Evaluation Report for each member of the department, and discuss this report and the Annual Merit Salary Increase Recommendation with the faculty member being evaluated.
Report transmittal + 3 days	Signing and Returning Chair's Evaluation Report: The faculty member has three (3) working days after receipt of chair's evaluation to review the evaluation materials, and to sign and return one copy to the Department Chair.

Report signing + 10 days	Optional Rebuttal of Chair's Evaluation: The faculty member may submit a rebuttal of the Chair's annual evaluation to the Dean of his or her school or college (Provost and Vice Chancellor for Academic Affairs if the Dean is also the Department Chair) within 10 days after signing the report when there are areas of disagreement.
May 1	Submission of Chair's Annual Reports: The Department Chair should submit to the Dean of the respective school or college the annual Chair's Evaluation Report, attaching the faculty member's Self-Evaluation Report, any supporting documentation, Student Evaluation Report, and Annual Merit Salary Increase Recommendation.
May 1-15	Annual Dean's Evaluation Report: The Dean will prepare an annual Dean's Evaluation Report for each member in his or her school or college, and complete the Annual Merit Salary Increase Recommendation for the faculty member being evaluated.
Report transmittal + 3 days	Signing and Returning Dean's Evaluation Report: The faculty member has three (3) working days after receipt of Dean's evaluation to review the evaluation materials, and to sign and return one copy to the Dean.
Report signing + 10 days	Optional Rebuttal of Dean's Evaluation: If the Dean's evaluation disagrees with that of the Department Chair, the faculty member may submit a rebuttal of the Dean's annual evaluation to the Provost and Vice Chancellor for Academic Affairs within 10 days after signing the report.
May 15	Submission of Dean's Annual Reports: The Dean should submit the annual Dean's Evaluation Report, attaching the faculty member's Self-Evaluation Report, any supporting documentation, Student Evaluation Report, and Annual Merit Salary Increase Recommendation to the Provost and Vice Chancellor for Academic Affairs.
May-August	Faculty Contracts: The Office of the Chancellor should send the next year's contract, and salary increase information, to faculty members by the start of the new academic year.

### **Typical Calendar of Events for Tenure and/or Promotion**

The events listed below are intended as guidelines only; dates are approximate and may be altered as conditions warrant. Specific policies and procedures are found in the full Faculty Evaluation Plan. If a date listed in this table falls on a weekend or holiday, the deadline is automatically moved to the next business day.

<b>DATE</b>	<b>EVENT OR DOCUMENT</b>
April 1-14	Spring Student Evaluation: Faculty members collect student evaluations (the schedule varies by surname and year).
August 1	Early Review Petition: The faculty member petitions for early review for tenure or promotion, if desired.  Optional Promotion Review: If a faculty member wishes to undergo review for promotion in addition to a required post-tenure review, or if a Lecturer wishes to apply for promotion to Senior Lecturer, the faculty member must notify the Department Chair by this date.
August 15	Evaluation Announcement: The Department Chair notifies the faculty member, the Dean, the chair of the Promotion and Tenure Committee (PTC), and the Provost and Vice Chancellor for Academic Affairs of the impending major evaluation by this date.
August 29	Submission of Materials: The faculty member submits materials to the Department Chair including the PEC nomination form.
September 7	PEC Formation: The Department Chair announces the composition of the Peer Evaluation Committee (PEC).
September 17	Transmittal of Materials: By this date, the Department Chair meets with the PEC, reviews its charge, and gives the PEC the full set of the candidate's materials, including previous Chair evaluations (or Dean evaluations for the Chairs.) The PEC elects its chair after meeting with the Department Chair.
September 17- November 1	External Review Initiation: If desired, external review of the faculty member's scholarly or creative work is initiated by either the faculty member or the PEC (through the Department Chair).  Observations of Teaching: Observation of the candidate's teaching is carried out by the Department Chair and members of the PEC. If the faculty member is teaching online, provisions must be made for observation of online teaching.  PEC Evaluation: The PEC deliberates on all materials, observations, etc., to reach a recommendation. A report is drafted and the PEC Tenure, Promotion and Renewal Form is completed and signed by the PEC members.  Chair's Evaluation: The Department Chair prepares and signs an independent report and completes and signs the Tenure, Promotion, and Renewal form.
November 5	Two copies of the PEC report, including any minority report, and two copies of

	the Department Chair's report are due to the faculty member by this date. The Department Chair and PEC chair confer separately with the faculty member.
Report transmittal + 3 business days	Faculty Signatures: The faculty member signs the reports and the Tenure, Promotion and Renewal Forms from PEC and Department Chair, acknowledging content but not necessarily agreement. The faculty member retains one signed copy of each report.
Report signing +10 business days	Optional Rebuttal: The faculty member may submit a rebuttal of the PEC and/or Department Chair's report, if desired, to the Dean of the faculty member's school or college within 10 business days of signing the report..
November 8	Report Submission: Department Chair and PEC submit their reports signed by the faculty member to the Dean of the relevant school or college. The chair submits the candidate's materials to the relevant Dean. Any minority PEC report is also submitted.
December 1	Dean's Evaluation Report for Promotion and Tenure: The Dean will prepare and sign two copies of the Dean's Evaluation Report for each faculty member in his or her school or college being considered for promotion or tenure. These reports must be delivered to faculty members under review by this date.
Report transmittal+ 3 business days	Returning Dean's Evaluation Report: The faculty member has three (3) business days after receipt of Dean's evaluation to review the evaluation materials, and to sign and return one copy to the Dean.
Report signing +10 business days	Optional Rebuttal of Dean's Evaluation: If the Dean's evaluation disagrees with that of the Department Chair or PEC, the faculty member may submit a rebuttal of the Dean's evaluation to the Promotion and Tenure Committee (PTC) via the office of the Provost and Vice Chancellor for Academic Affairs within 10 business days after signing the report.
December 15	Dean submits the Dean's report, Chair's report, PEC report (including any minority reports and rebuttals), and the candidate's materials to the Promotion and Tenure Committee (PTC) via the Office of Academic Affairs.  The PTC may request, if they desire, a counter rebuttal or corrected report responding to candidate's rebuttal to PEC or Department Chair report.
April 1	Submission of Promotion and Tenure Committee Report: The Chair of the PTC should submit the Committee's report, the completed PTC Tenure, Promotion and Renewal Form, and all reports and materials received to the Provost and Vice Chancellor for Academic Affairs. Any PTC minority report is also submitted to the Provost and Vice Chancellor for Academic Affairs. The faculty member must be given a copy of the PTC report, including any minority report, and the PTC Tenure, Promotion and Renewal Form by this date. The faculty member is not required to sign these materials.
Report transmittal + 10 business days	Optional rebuttal to the PTC Report: If the PTC report is unfavorable, the faculty member may, within 10 business days of receiving the report, submit a rebuttal to the Provost and Vice Chancellor for Academic Affairs.

- May 1                    The Provost and Vice Chancellor for Academic Affairs sends his or her recommendation for promotion and/or tenure to the Chancellor.
- May                      Administrative Report: The Provost and Vice Chancellor for Academic Affairs sends a report of Chancellor's decision, vote of PTC, and other information to candidate.

The faculty member under consideration for tenure and/or promotion is to receive a copy of the various reports as they are submitted. Note that the UNCP Board of Trustees approves tenure and promotion decisions.

### **Calendar of Events for One-Year Contract Review of Non-Tenure Track Faculty**

The events listed below are intended as guidelines only; dates are approximate and may be altered as conditions warrant. Specific policies and procedures are found in the full Faculty Evaluation Model.

<b>DATE</b>	<b>EVENT OR DOCUMENT</b>
September 7	Notification: The Department Chair notifies the faculty member, the Dean of the relevant school or college, and the Provost and Vice Chancellor for Academic Affairs that the evaluation is to be conducted.
November 1-15	Student Evaluations: The faculty member collects Student Evaluations of Instruction in all courses. The results of these evaluations will be provided to the faculty member by the Department Chair after all final grades are submitted.
January 15	Submission of Materials: The faculty member presents the Department Chair with a binder containing the documents required, including the fall semester Student Evaluation of Instruction reports, an abbreviated self-evaluation, and Peer Evaluation Committee (PEC) Nomination Form.
January 22	PEC Formation: The Department Chair announces make-up of PEC.
January 22-January 30	Transmittal of Evaluation Materials: The Department Chair gives the PEC the candidate's materials. The PEC meets and elects its chair.
January 30-March 1	Teaching Observations: The Department Chair and members of PEC carry out classroom observations. Arrangements must be made to review online teaching.
March 10	PEC Evaluation: The PEC deliberates on all materials, observations, etc., to reach a recommendation. A report is drafted and the Tenure, Promotion and Renewal Form is completed. The PEC transmits two copies of its report to the faculty member.
March 10	Chair's Evaluation: The Department Chair prepares an independent report and completes the Tenure, Promotion, and Renewal form. The Department Chair then transmits two copies of his or her report to, and confers with, the faculty member.
Report transmittal + 3 business days	Faculty Signatures: The faculty member signs the one report from the PEC and one report from the Department Chair, acknowledging content but not necessarily agreement.
Report signing + 10 business days	Optional Rebuttal: The faculty member may submit a rebuttal of the PEC and/or Department Chair's report, if desired, to the Dean of the faculty member's school or college.

March 15 Report Submission: Department Chair and PEC submit reports to the Dean of the relevant school or college. Any minority PEC report is also submitted.

March 30 Dean's Evaluation Report: The Dean will prepare a Dean's Evaluation Report for each member in his or her school or college undergoing first- year review, and will complete the Dean's Evaluation Report Form for each faculty member being evaluated. The faculty member has three (3) business days after receipt of Dean's evaluation to review the evaluation materials, and to sign and return one copy to the Dean.

Optional Rebuttal of Dean's Evaluation: If the Dean's evaluation disagrees with that of the Department Chair or the PEC, the faculty member may submit a rebuttal of the Dean's evaluation to the Provost and Vice Chancellor for Academic Affairs within 10 business days after signing the Dean's report.

April 15 Submission of Dean's Reports: The Dean is to submit the Dean's Evaluation Report, attaching all materials presented, to the Provost and Vice Chancellor for Academic Affairs.

Reappointment Decision: After conferring with the faculty member's Department Chair, with the Dean of the faculty member's school or college, the Provost and Vice Chancellor for Academic Affairs decides whether to reappoint the non-tenure track faculty member. No obligation exists on the part of The University of North Carolina at Pembroke to give any notice, other than statement of the length of appointment in the appointment contract, before a current terms expires as to whether appointment will be offered for a succeeding term. Courtesy notification may be given by the Provost and Vice Chancellor for Academic Affairs within 20 days of receiving a written request from the faculty member. Failure to communicate a decision shall not affect or replace the notice of non-reappointment deemed to have been made with the original appointment contract and shall not constitute a new determination of non-reappointment or an offer.

### **Calendar of Events for Initial Two-Year Contract Review**

The dates listed below should be followed. If the date falls on a day that administrative offices are closed, the deadline will be the first day the offices reopen. Other relevant policies and procedures are found in the full Faculty Evaluation Plan.

<b>DATE</b>	<b>EVENT OR DOCUMENT</b>
September 7	Notification: The Department Chair notifies the faculty member, the Dean of the relevant school or college, and the Provost and Vice Chancellor for Academic Affairs that the evaluation is to be conducted.
November 15	Submission of Nomination Form: The faculty member submits the Peer Evaluation Committee (PEC) Nomination Form to the Department Chair.
November 30	PEC Formation: The Department Chair announces make-up of PEC.
Prior to end of the first semester	Student Evaluations: The faculty member conducts student evaluations of his/her courses. The Chair distributes the collated data and typed comments to the faculty member as soon as the faculty member's final course grades have been submitted.
January 20	Submission of Materials: The faculty member submits all required materials to the Department Chair including the self-evaluation. Part 2, Section C of the self-evaluation should discuss the student data.
February 3	Transmittal of Materials: The Department Chair meets with the PEC and gives the PEC the candidate's materials. The PEC meets and elects a chair.
February-April 14	Observation of teaching: The Department Chair and members of PEC carry out observation of the faculty member's teaching. If the faculty member is teaching online, provisions must be made for observation of online teaching.  PEC Evaluation: The PEC deliberates on all materials, observations, etc., to reach a recommendation. A report is drafted and the PEC Tenure, Promotion and Renewal Form is completed.  Chair's Evaluation: The Department Chair prepares an independent report and completes the Tenure, Promotion, and Renewal form.
April 15	Reports Conveyed: The PEC and Department Chair convey their reports to the faculty member.
April 21	Faculty Signatures: The faculty member signs the reports from PEC and Department Chair, acknowledging content but not necessarily agreement.

April 22	Report Submission: Department Chair and PEC submit reports to the Dean of the relevant school or college. Any minority PEC report is also submitted.
May 1	Optional Rebuttal: The faculty member may submit a rebuttal of the PEC and/or Department Chair's report, if desired, to the Dean of the faculty member's school or college.
August 30	Dean's Evaluation Report: The Dean will prepare a Dean's Evaluation Report for each member in his or her school or college undergoing second year initial review, and complete the Dean's Evaluation Report Form for each faculty member being evaluated. The Dean will convey the Dean's report to the faculty member by August 30.
September 5	Signing and Returning Dean's Evaluation Report: The faculty member has until this date to review the Dean's evaluation materials, and to sign and return one copy to the Dean.
September 15	Optional Rebuttal of Dean's Evaluation: If the Dean's evaluation disagrees with that of the Department Chair or the PEC, the faculty member has until this date to submit a rebuttal of the Dean's evaluation to the Provost and Vice Chancellor for Academic Affairs.
September 15	Submission of Dean's Reports: The Dean is to submit the Dean's Evaluation Report, attaching all materials presented, to the Provost and Vice Chancellor for Academic Affairs.
November 1	Reappointment Decision: Following procedures in the UNCP Tenure Regulations, after conferring with the faculty member's Department Chair, and with the Dean of the faculty member's school or college the Provost and Vice Chancellor for Academic Affairs decides whether to reappoint the faculty member. The Provost and Vice Chancellor reports the decision to the Chancellor for information.
November 15 <b>(This date may not be altered)</b>	Notification of Reappointment Decision: By November 15 of the second year, if the decision is not to reappoint an Assistant Professor, the Provost and Vice Chancellor for Academic Affairs provides written notice to the faculty member. Per Section 604.A of the UNC Code, "If a decision is not to reappoint, then failure to give timely notice of non-reappointment will oblige the Chancellor to offer a terminal appointment of one academic year."

### **Calendar of Events for Initial Three-Year Contract Review**

The dates listed below should be followed. If the date falls on a day that administrative offices are closed, the deadline will be the first day the offices reopen. Other relevant policies and procedures are found in the full Faculty Evaluation Plan.

<b>DATE</b>	<b>EVENT OR DOCUMENT</b>
Both semesters of the first year	Student Evaluations: The faculty member conducts student evaluations of his/her courses. The Chair distributes the collated data and typed comments to the faculty member after the faculty member's final course grades have been submitted each semester.
September 7 of the second year	Notification: The Department Chair notifies the faculty member, the Dean of the relevant school or college, and the Provost and Vice Chancellor for Academic Affairs that the evaluation is to be conducted.
September 21	Submission of Materials: The faculty member presents the Department Chair with documents required, including the Peer Evaluation Committee (PEC) Nomination Form. Part 2, Section C of the self-evaluation should discuss the student data.
September 30	PEC Formation: The Department Chair announces make-up of PEC.
October 3	Transmittal of Materials: The Department Chair meets with the PEC and gives the PEC the candidate's materials. The PEC meets and elects a chair.
October –January 14	Observation of teaching: During the fall semester, the Department Chair and members of PEC carry out observation of the faculty member's teaching. If the faculty member is teaching online, provisions must be made for observation of online teaching.
January 15	PEC Evaluation: The PEC deliberates on all materials, observations, etc., to reach a recommendation. A report is drafted and the PEC Tenure, Promotion and Renewal Form is completed.  Chair's Evaluation: The Department Chair prepares an independent report and completes the Tenure, Promotion, and Renewal form.  Reports Conveyed: The PEC and Department Chair convey their reports to the faculty member.
January 20	Faculty Signatures: The faculty member signs the reports from PEC and Department Chair, acknowledging content but not necessarily agreement.
January 21	Report Submission: Department Chair and PEC submit reports to the Dean of the relevant school or college. Any minority PEC report is also submitted

February 1	Optional Rebuttal: The faculty member may submit a rebuttal of the PEC and/or Department Chair's report, if desired, to the Dean of the faculty member's school or college.
February 15	Dean's Evaluation Report: The Dean will prepare a Dean's Evaluation Report for each member in his or her school or college undergoing second-year review, and complete the Dean's Evaluation Report Form for each faculty member being evaluated. The Dean will convey his/her report to the faculty member by February 15.
February 20	Faculty Signature: The faculty member has until this date to review the Dean's evaluation materials, and to sign and return one copy to the Dean.
March 3	Optional Rebuttal of Dean's Evaluation: If the Dean's evaluation disagrees with that of the Department Chair or the PEC, the faculty member has until this date to submit a rebuttal of the Dean's evaluation to the Provost and Vice Chancellor for Academic Affairs.
March 3	Submission of Dean's Reports: The Dean is to submit the Dean's Evaluation Report, attaching all materials presented, to the Provost and Vice Chancellor for Academic Affairs.
April 1	Reappointment Decision: Following procedures in the UNCP Tenure Regulations, after conferring with the faculty member's Department Chair and with the Dean of the faculty member's school or college, the Provost and Vice Chancellor for Academic Affairs decides whether to reappoint the faculty member. The Provost and Vice Chancellor reports the decision to the Chancellor for information.
May 15 <b>(This date may not be altered)</b>	Notification of Reappointment Decision: By May 15 of the second year of the probationary appointment, if the decision is not to reappoint an Associate Professor, the Provost and Vice Chancellor for Academic Affairs provides written notice to the faculty member no later than this date.

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### **Typical Calendar of Events for Post-Tenure Review**

The events listed below are intended as guidelines; dates may be altered as conditions warrant. Specific policies and procedures are found elsewhere in this document and in the full UNCP Faculty Evaluation Model. If a date listed in this table falls on a weekend or holiday, the deadline is automatically moved to the next business day.

<b>DATE</b>	<b>EVENT OR DOCUMENT</b>
April 15	Notification: Department Chair notifies faculty member that the post-tenure review process will occur during the following academic year.
August 1	Optional Promotion Review: If a faculty member wishes to undergo review for promotion in addition to a required post-tenure review, the faculty member must notify the Department Chair by this date.
August 15	Evaluation Announcement: If the faculty member wishes to undergo review for promotion in addition to the required post-tenure review, the Department Chair notifies the Dean, the chair of the Promotion and Tenure Committee (PTC), and the Provost and Vice Chancellor for Academic Affairs of the impending promotion evaluation by this date. The faculty member should receive a copy of this notification.
August 29	Submission of Materials: The faculty member presents the Department Chair with the required documents. [In the initial stages of this process, these various materials might be collected from a variety of sources (the faculty member's own copies, copies in the possession of the Department Chair, and/or copies in the possession of the Office of Academic Affairs).]
September 7	PEC Formation: The Department Chair announces the composition of the Peer Evaluation Committee (PEC).
September 17	Transmittal of Materials: By this date, the Department Chair meets with the PEC, reviews its charge, and gives the PEC the candidate's materials. The PEC elects its chair after meeting with the department chair.
September 17 – November 1	Optional observation of teaching (when deemed appropriate) is carried out by Department Chair and members of the Peer Evaluation Committee. The PEC independently deliberates on all materials, observations, etc., to reach a recommendation. The Peer Evaluation Committee's Report for Post-Tenure Review is completed. (Section II, Chapter 2)
November 5	Two copies of the PEC's Report for Post-Tenure Review are transmitted to the faculty member.
Report transmittal + 3 business days	Faculty member being evaluated signs/dates form from PEC. The faculty member retains one signed copy.
November 5	Department Chair, after consultation with the PEC, completes, after consultation with the PEC, the Department Chair's Report for Post-Tenure Review. (Section II, Chapter 2)

November 6		Two copies of the Chair's Report for Post-Tenure Review are transmitted to the faculty member.
Report transmittal + 3 business days	+	Faculty member being evaluated signs/dates form from Department Chair. The faculty member retains one signed copy.
November 9		PEC and chair reports are submitted, along with the candidate's materials to the Dean
Report transmittals + 10 business days	+	[Optional] Faculty member being evaluated submits rebuttal to report(s) to the Dean.
December 1		For candidates undergoing concomitant review for promotion, Dean reviews Chair and PEC post-tenure report forms, supporting materials, including rebuttals, and completes the Dean's Report for Post-Tenure Review. By deadline, Dean gives the faculty member and Department Chair, a copy of the Dean's report and submits that report, with all attached post-tenure materials, to the Provost and Vice Chancellor for Academic Affairs.
January 15		For candidates not undergoing concomitant review for promotion, Dean reviews Chair and PEC reports, supporting materials, including rebuttals, and completes the Dean's Report for Post-Tenure Review (Form 4-12.M). By deadline, Dean gives the faculty member and Department Chair, a copy of the Dean's report and submits that report, with all attached materials, to the Provost and Vice Chancellor for Academic Affairs.
February 15		Provost and Vice Chancellor for Academic Affairs confers with the Dean concerning outcome of evaluation process
December 1		Following successful outcome of Tenure/Promotion, a Five Year Plan is submitted to the Chair (Dean, if Chair was evaluated.)

**SECTION II  
CHAPTER 3  
FACULTY TENURE AND PROMOTION POLICY**

**Academic Freedom and Responsibility in the University Community**

The University of North Carolina at Pembroke is dedicated to the transmission and advancement of knowledge and understanding. Academic freedom is essential to the achievement of these purposes. This institution therefore supports and encourages freedom of inquiry for faculty members and students, to the end that they may responsibly pursue these goals through teaching, learning, research, discussion and publication, free from internal or external restraints that would unreasonably restrict their academic endeavors. The University of North Carolina at Pembroke protects faculty and students in their responsible exercise of the freedom to teach, to learn, and otherwise to seek and speak the truth. Faculty and students of this institution share in the responsibility for maintaining an environment in which academic freedom flourishes and in which the rights of each member of the academic community are respected.

It is the policy of The University of North Carolina at Pembroke to support and encourage full freedom, within the law, of inquiry, discourse, teaching, research, and publication for all members of this institution's academic staff. Members of the faculty are expected to recognize that accuracy, forthrightness, and dignity befit their association with this institution and their position as men and women of learning. They should not represent themselves, without authorization, as spokespersons for The University of North Carolina at Pembroke. The University of North Carolina at Pembroke will not penalize nor discipline members of the faculty because of the exercise of academic freedom in the lawful pursuit of their respective areas of scholarly and professional interest and responsibility.

**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, discharge from employment, or reduction in rank by The University of North Carolina at Pembroke except upon specified grounds and in accordance with the established procedures.

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, discharge from employment, or reduction in rank by The University of North Carolina at Pembroke except upon specified grounds and in accordance with procedures provided in Section II, Chapter 1 on the Faculty Hearing Committee and against termination of employment except as provided in Section II, Chapter 1 on Non-Reappointment of Tenure Track Faculty members on Probationary Term Appointments and Termination of Faculty Employment.

Academic tenure for faculty members is intended to secure their academic freedom and to help the institution attract and retain faculty members of high quality. While academic tenure may be withheld on any grounds other than those specifically stated to be impermissible, a conferral of tenure requires an assessment of the faculty member's demonstrated professional competence, potential for future contribution, and institutional needs and resources.

**Tenure and Promotion Criteria**

Candidates for tenure and/or promotion will be evaluated using the criteria of scholarship and professional growth, University and community service, and, most importantly, excellence and effectiveness in teaching.

## **Teaching**

Though teaching is, in many ways, a highly individualized profession and though there are continuing debates over the most effective techniques, there is little disagreement over the importance of exceptional teaching as the major criterion for tenure and/or promotion. Clearly, exceptional teachers will show command of their subject, be creative and imaginative, be enthusiastic, promote critical thinking, stimulate their students to improved performance, engage in and use research, and be outstanding communicators.

## **Scholarship and Professional Growth**

All faculty are expected to engage in forms of scholarship appropriate to their discipline, their continuing professional growth, and the mission of the University. Scholarship is a valuable component in the makeup of a good teacher. Evaluation of scholarship and creative activity considers the contributions to the field or discipline, the quality of the work, and its significance or impact, with particular emphasis on accomplishments since the last appointment or promotion. It also includes consideration of the continuity, range, focus, and aggregation of productive work in the field.

Reflection on scholarship in the evaluation process ideally moves it beyond a simple listing of accomplishments or compilation of documents. Evidence of scholarship includes activities, artifacts documenting those activities, and a narrative containing reflective discussion from the candidate. The reflective narrative should demonstrate a pattern of scholarly activity consistent with the “Indicators/Categories of Scholarship Accomplishments” as presented below.”

Faculty members are encouraged to continue to pursue opportunities for growth and development throughout their professional lives. Faculty members should engage in appropriate activities that will enhance their teaching effectiveness, keep them abreast of developments in their academic fields, and/or add new areas of expertise to the existing programs of the University.

## **Service**

All faculty are expected to engage in forms of service appropriate to their discipline, their continuing professional growth, and the mission of the University. As a criterion for tenure and promotion, the concept of service will go beyond routine duties. Successful candidates must show evidence of participation and leadership in projects on and off the campus that contribute to advancing the mission of the University. Reflection on service in the evaluation process ideally moves beyond a simple listing of accomplishments or compilation of documents.

## **Plans for Professional Activities and Future Development**

Each faculty member will engage in activities that contribute to professional growth and development, and refinement of his/her expertise.

## **Promotion Standards**

### **Assistant Professor**

It is generally recognized that promotion to the rank of Assistant Professor is based on potential. The following are required for promotion to Assistant Professor:

1. Unless there are extenuating circumstances, a terminal degree in the appropriate field;
2. Evidence of effectiveness in teaching;
3. Evidence of scholarship and professional growth;
4. Evidence of university, professional, and community service;
5. Essentially positive evaluations;
6. A minimum of three years' experience in higher education, unless cumulative achievement deemed equivalent.

### **Associate Professor**

It is generally recognized that promotion to the rank of Associate Professor is based upon both demonstrated performance and potential. The following are required for promotion to Associate Professor:

1. Unless there are extenuating circumstances, a terminal degree in the appropriate field;
2. Evidence of superior teaching;
3. Evidence of scholarship and professional growth;

Each faculty member should pursue an appropriate balance among the different types of scholarship essential to the implementation of the mission of the institution. Faculty are advised that the Faculty Evaluation Model requires that at least 10% of a faculty member's effort be devoted to scholarship during the time period since appointment or promotion to the rank of Assistant Professor. The candidate should provide evidence of quality scholarship from the indicators/categories of scholarship accomplishment identified below. Evidence from peer-reviewed categories is expected for promotion to Associate Professor.

4. Evidence of university, professional, and community service;

Each faculty member should pursue an appropriate balance among the different types of service essential to the mission of the institution and the support of the faculty member's discipline. Faculty are advised that the Faculty Evaluation Model requires that at least 10% of a faculty member's effort be devoted to service during the time period since appointment or promotion to the rank of Assistant Professor. The candidate should provide evidence of university, professional, and community service apportioned as he/she sees fit.

5. Essentially positive evaluations;
6. A minimum of seven years' experience in higher education, unless cumulative achievement deemed equivalent;
7. A minimum of four years in rank of Assistant Professor at The University of North Carolina at Pembroke, unless cumulative achievement deemed equivalent.

### **Professor**

It is generally recognized that promotion to the rank of Professor is based upon one's having achieved professional and scholarly distinction. The following are required for promotion to Professor:

1. Unless there are extenuating circumstances, a terminal degree in the appropriate field;
2. Evidence of outstanding teaching;
3. Evidence of significant scholarship and professional growth

Each faculty member should pursue an appropriate balance among the different types of scholarship essential to the implementation of the mission of the institution. Evidence of consistent scholarly contributions to the profession should be demonstrated over the course of the candidate's career. The candidate should provide evidence of quality scholarship from the indicators/categories of scholarship accomplishment identified below. Evidence of peer-reviewed scholarship is required for promotion to full Professor.

4. Evidence of university, professional, and community service;

Each faculty member should pursue an appropriate balance among the different types of service essential to the mission of the institution and the support of the faculty member's discipline. Faculty are advised that the Faculty Evaluation Model requires that at least 10% of a faculty member's effort be devoted to service during the time period since appointment or promotion to the rank of Assistant Professor. The candidate should provide evidence of university, professional, and community service apportioned as he/she sees fit.

5. Positive evaluations;
6. A minimum of ten years' experience in higher education, unless cumulative achievement deemed equivalent
7. Five years in rank of Associate Professor at The University of North Carolina at Pembroke, unless cumulative achievement deemed equivalent.
8. Evidence of leadership in fulfilling collegiate responsibilities.

It is strongly recommended that a candidate not receiving promotion should not be considered the following academic year.

### **Indicators/Categories of Scholarship Accomplishment**

While this listing is not meant to include all possible examples of scholarship accomplishment, it does likely cover the great majority of works that could validly be claimed as scholarship. It is recommended that all faculty members use this list, along with guidance from their Chairs and peers, to direct them into appropriate projects that will result in acceptable scholarship accomplishments. One should keep in mind that a few minor accomplishments typically will not be sufficient for promotion, especially the promotion to full professor.

**1. Dissemination of Scholarship** (Identify the project as peer-reviewed or not peer-reviewed. More weight will be given to peer-reviewed works published by major professional organizations or presses of acknowledged quality.)

- Publication of a book
- Published monograph
- Book chapters
- Articles in scholarly journals
- Conference proceedings
- Presentations in scholarly forums
- Textbooks
- Translations of scholarly/literary works
- Reviews of scholarly works; abstracts
- Workbooks/Study guides
- Articles published in educational magazines
- Other papers and reports (trade, in-house publications, and encyclopedias)
- Instructor's Manuals

### **2. Creative Activities**

- Composition (with more weight given to departmentally sponsored, outside peer-reviewed performances of compositions or to peer-reviewed compositions published by organizations of acknowledged quality)
- Public Performances exhibits (with more weight given to departmentally sponsored peer reviewed performances in venues of acknowledged quality)
- Exhibits (with more weight given to juried art exhibits in venues of acknowledged quality)
- Demonstrating professional competence through employment by reputable professional companies
- Commissions (with more weight given to commissions from prestigious public or professional institutions)
- Invited presentations, lectures, master classes, workshops, and performances (with more weight given to reputable professional organizations or venues of acknowledged quality or to peer reviewed activities where appropriate)

### **3. Editing**

- Editor, book of readings (published by a professional organization or nationally recognized)

publishing house)

- Editorial Board, international, national, regional or state journal

#### **4. Grants and Contracts**

Funded research/program grants

- Grants proposals (not funded)
- Grants for professional development
- Grant reviewer

#### **5. Classroom based research projects--Scholarship of Teaching and Learning**

(When defined as scholarship, teaching both educates and entices future scholars. Faculty as scholars are also learners, transforming and extending knowledge as well as transmitting it.)

- Development of software and other course materials (professionally disseminated)
- Articles on pedagogy or curriculum design
- Reports based on program and service grants devoted to innovative pedagogy
- Contracts devoted to developing and disseminating innovative pedagogy

#### **6. Scholarship related to service or the use of professional expertise—Scholarship of Engagement or Application** (To be considered scholarship, service activities must be directly tied to one's special field of knowledge and relate to and flow directly out of professional activity related to one's special field of knowledge.)

- Commissioned research reports
- Articles in the popular or regional press
- Editorial, curatorial, or community education projects
- Accreditation reports (In exceptional cases, the individual responsible for compiling the accreditation report can make a case for the scholarship component of the document being submitted for consideration.)
- Course materials designed for professional development seminars

#### **7. Other**

- Honors/awards for research and artistic efforts
- Significant citations of work in professional literature
- Membership in professional societies
- Attendance at professional meetings
- Supervision of graduate or undergraduate theses or extensive projects that involve research or artistic efforts
- Special research or artistic efforts
- Special initiatives in on-campus scholarly or professional development
- Continuing education, workshops, symposia, or other specialized training programs attended or completed
- Professional consultancies resulting in professional development

#### **Early Tenure**

According to Section II, Chapter 1 on Faculty Personnel Policies on Faculty Status, faculty appointed to the rank of Assistant Professor or Associate Professor receive a series of multi-year contracts until, at the end of the sixth year of employment, they are reappointed with permanent tenure at the same or higher rank, or not reappointed. Faculty requesting tenure/promotion prior to the sixth year of employment will meet the following criteria:

1. Currently in a tenure-track position;
2. Documented evidence of exceptional teaching as determined by the department;
3. An exceptional record of scholarship. The circumstances and record of performance that make the case exceptional must be fully documented by the candidate and validated by the

- department. The fact that an applicant meets the performance criteria for tenure/promotion does not constitute an exceptional case for early tenure/promotion;
4. Documented evidence of exceptional service (university, professional, and community) as determined by the department;
  5. At least four years of full-time experience in teaching or librarianship at an accredited four-year college or university, including two years completed at UNC Pembroke; and
  6. A letter from the Chair of the Department to the faculty member, the Dean, the Chair of the Promotion and Tenure Committee, and the Provost and Vice Chancellor for Academic Affairs acknowledging that the candidate meets the requirements in Criteria 1) and 5). This letter must be submitted by August 1.

A candidate for early tenure/promotion can make application only once. If the candidate is not successful in receiving early tenure/promotion, he/she will not be penalized in any way and can pursue the normal tenure/promotion process.

### **Tenure Consideration for Newly-Hired Faculty and Administrators**

When a tenured distinguished faculty member or senior academic administrator (department chairs, deans, associate vice chancellors, and provosts) who requests a faculty appointment is being considered for a position at UNCP, tenure can be conferred upon hiring. In such exceptional cases, before a contract is offered, the Provost and Vice Chancellor for Academic Affairs submits the portfolio of the candidate to the appropriate department for consideration of tenure. After careful consideration, the department chair and faculty make a recommendation to the appropriate dean, who in turn makes a recommendation to the Provost for or against tenure in that department. It is expected that the Provost and the Chancellor would abide by these recommendations except in extraordinary circumstances.

### **Policy for Promotion of Non-Doctoral Faculty**

(Approved by The University of North Carolina at Pembroke Faculty Senate on May 6, 1987)

#### **General Introduction**

Persons holding the master's degree as their highest earned degree are not automatically entitled to consideration for promotion to or within professorial rank. Such persons may, however, where they can present substantial evidence of comparable professional distinction, petition for promotion to or within professorial rank. Comparable professional distinction is understood herein to mean the functional equivalent of a terminal degree in the petitioner's discipline or field. In no case does length of service to the University or teaching competence qualify as evidence of comparable professional distinction. While these items might constitute considerations to be taken into account within the structure of any promotion decision, they do not constitute a means of qualifying for promotion consideration on the basis of comparable professional distinction. For promotion purposes, a Master of Fine Arts degree may be considered a terminal degree in lieu of a doctorate in the appropriate creative and performance areas. For promotion purposes, additional individual consideration may be given to the Master of Social Work degree (recognized as the terminal practice degree) combined with membership to the Academy of Certified Social Workers or NC State License/Certification in appropriate area of practice and the Master of Business Administration degree combined with the Certified Public Accounting License.

#### **Criteria for Comparable Professional Distinction**

- Evidence of outstanding academic/professional accomplishment. This would include a history of being a contributing and exceptional member of an academic discipline. Items to be considered in this regard include a record of publication, artistic productivity in studio or performing arts, as well as exceptional professional accomplishment in fieldwork relevant to the academic discipline.

- Evidence of continuing professional development. There must be a strong record of involvement in professional activity. Presentation of conference papers, conference attendance, symposium participation, and any other activity, exhibit, or show where one's work product is subject to professional peer review may be considered.
- Evidence that one has a reputation as a respected scholar/ professional among peers.
- Demonstration of how evidence compiled with respect to items a, b, and c above may combine to justify the petitioner's claim to have attained, by virtue of outstanding accomplishment, the functional equivalent of a terminal degree in his/her discipline or field.

### **Procedure**

Any person wishing to be considered for promotion to or within professorial rank on the basis of comparable professional distinction must petition for such consideration. This is to be done by presenting a written request, along with supporting evidence, to the department chair. The department chair will convene the departmental peer evaluation committee. This committee will consider the merits of the request and shall send it, the supporting evidence, the committee's written recommendation, along with the department chair's recommendation to the Provost and Vice Chancellor for Academic Affairs. The Vice Chancellor, if he or she deems the request to have merit, shall ask for a review by the Promotion and Tenure Committee. This committee shall consider only if the petitioner has met the stated criteria for comparable professional distinction. Having thoroughly examined the evidence, the committee shall submit its recommendation to the Provost and Vice Chancellor for Academic Affairs. The Provost and Vice Chancellor shall make the final determination on comparable professional distinction. If the Provost and Vice Chancellor decides that the criteria for comparable professional distinction are not met, he/she shall so inform the petitioner in a manner consistent with general provisions of the University's promotion policy. Any petitioner who is determined to have met the criteria for comparable professional distinction shall be considered, for promotion purposes, to have the functional equivalent of a terminal degree in his/her field or discipline. From that point forward, the petitioner shall be entitled to the same consideration and evaluated by the same criteria that apply to all terminal degree holders with respect to promotion.

### **Policy on Appointment, Reappointment, Promotion, and Tenure of Professional Librarians**

(Approved by the Faculty Senate on February 6, 1991)

Professional librarians at The University of North Carolina at Pembroke hold faculty status and receive benefits equal to other EPA academic personnel on twelve-month contracts with equivalent credentials. Although they hold rank similar to that of instructional personnel, librarians are considered administrative faculty since they do not hold an appointment in an academic department. And, because their duties differ considerably from those of the teaching faculty, a separate but parallel system of library ranks has been established.

Professional librarians appointed to positions at The University of North Carolina at Pembroke must possess as a minimum qualification a Master's Degree in the field of Library Science, hereafter referred to as an M.L.S. This degree is considered an appropriate terminal degree for initial appointment. Professional librarians must also exhibit potential for job performance in a specific library field, service, scholarship, and professional development.

Professional librarians are normally appointed at the rank of Instructor Librarian. When considered for promotion and/or tenure, they are evaluated according to the procedures and criteria, the latter modified slightly to reflect the nature of a librarian's work, established for the faculty by the Faculty Senate and by the Tenure and Promotion Committee. Librarians not holding doctoral degrees are subject to the policies for non-doctoral faculty established by The University of North Carolina at Pembroke. Instructor

librarians in their third year should normally be reviewed for consideration for promotion to assistant librarian.

### **Appointment/Promotion Standards**

#### **Instructor Librarian**

Professional Librarians without previous professional experience are appointed at the rank of Instructor Librarian for a probationary period; this appointment is based on the expectation of successful overall performance and the potential for a promising career in librarianship. Appointment at this rank requires meeting the standards listed below.

1. An M.L.S. as a minimum qualification.
2. Potential for effectiveness in teaching and/or job performance.
3. Potential for scholarship and professional growth.
4. Potential for University and community service.
5. Essentially positive recommendations.

#### **Assistant Librarian**

Appointment at or promotion to the rank of Assistant Librarian is based upon demonstrated evidence of significant professional contributions to the library and the institution and the potential for further professional growth. Appointment at or promotion to Assistant Librarian requires meeting the standards listed below.

1. An M.L.S. as a minimum qualification and evidence of continued educational development;
2. Evidence of satisfactory teaching and/or job performance;
3. Evidence of scholarship and professional growth;
4. Evidence of community and University service;
5. Essentially positive evaluations;
6. A minimum of two years' professional experience after graduation.

#### **Associate Librarian**

Appointment or promotion to the rank of Associate Librarian is based upon evidence of substantial professional contributions to the library and the institution as well as significant achievements, for example in research, scholarship, or other appropriate professional endeavors, in addition to assigned duties in the library. Appointment at or promotion to Associate Librarian requires meeting the standards listed below.

An M.L.S. as a minimum qualification and evidence of continued educational development; such evidence may include earning an M.A. in an academic field and active participation in institutes, workshops, and conferences.

1. Evidence of superior teaching and/or job performance.
2. Evidence of scholarship and professional growth.
3. Evidence of community and University service.
4. Essentially positive evaluations.
5. A minimum of seven years' professional experience after graduation.
6. A minimum of four years in rank of Assistant Librarian at The University of North Carolina at Pembroke, unless cumulative achievement deemed equivalent.

#### **Senior Librarian**

Appointment or promotion to the rank of Senior Librarian is based upon outstanding achievements and evidence of significant professional contributions to the library and the institution as well as superior achievements, for example in research, scholarship, or other appropriate professional endeavors, in addition to assigned duties in the library. Appointment to or promotion to this rank requires meeting the standards listed below.

An M.L.S. as a minimum qualification and evidence of continued educational development; such evidence may include earning an M.A. in an academic field and participation in a leadership capacity in institutes, workshops, and conferences.

1. Evidence of outstanding teaching and/or job performance.
2. Evidence of significant scholarship and professional growth.
3. Evidence of community and University service.
4. Positive evaluations.
5. A minimum of ten years' professional experience after graduation.
6. A minimum of five years in rank of Associate Librarian at The University of North Carolina at Pembroke, unless cumulative achievement deemed equivalent.
7. Evidence of leadership in fulfilling collegiate responsibilities.

### **Criteria for Promotion**

Professional librarians being considered for promotion to Assistant, Associate, or Senior must meet the standards outlined above for each rank. They will be evaluated using the following criteria; special emphasis may be placed on the criteria that are most directly related to the candidate's assigned duties and responsibilities.

1. Documented evidence of continued professional growth and development; such evidence may include additional academic training and the earning of an academic master's degree; it may also include a record of attendance at and participation in workshops, institutes, seminars, and other informational meetings designed to further professional abilities and skills.
2. Documented evidence of communication, cooperation, and rapport with students, faculty, University staff, library staff, and the public in the providing of library services.
3. Documented evidence of the ability to instruct patrons in the interpretation and use of library resources.
4. Documented evidence of research or scholarly activities.
5. Documented evidence of exceptional performance and leadership in relating professional duties and responsibilities to the overall goals and objectives of the library.
6. Documented evidence of constructive contributions and innovations that have improved the library's services, such as the development of bibliographic pamphlets and user guides or upgrading the usability of the online catalog.
7. Documented evidence of effectiveness in supervisory, managerial, and administrative duties as applicable, with special emphasis on the training and development of supportive staff. [This criterion applies primarily to individuals who have served, or who are serving, in a supervisory capacity.]
8. Documented evidence of significant contributions in the area of collection development and collection analysis in one or more areas of the library's holdings.
9. Documented evidence of commendable service related to temporary assignments of additional responsibility, such as service on library standing and ad hoc committees or the analysis and continuing study of library policies and services.
10. Documented evidence of service to the University, such as membership on University and Senate committees and subcommittees.
11. Documented evidence of professional service to the community.

It is strongly recommended that a candidate not receiving promotion should not be considered the following academic year.

### **Tenure**

Professional librarians will be eligible for tenure. The relationship between tenure and rank shall be the same for librarians as for other faculty at The University of North Carolina at Pembroke. These general criteria include: 1) effectiveness of performance as a librarian; 2) quality of scholarship; and 3) effectiveness of professional service to the University and the community. A librarian awarded tenure is

granted tenure as a member of the library professional staff, not tenure in a specific working assignment or in an academic department.

A librarian who is a candidate for tenure shall be reviewed according to procedures set forth in established institutional regulations as applied to other faculty at The University of North Carolina at Pembroke. These procedures shall be similar to those mandated for promotion in academic rank.

#### **Criteria for Tenure Recommendations**

1. Documented evidence of general knowledge of the goals, standards, and conventions of the library profession, especially as applicable to the role of the academic librarian.
2. Documented evidence of superior abilities and professional knowledge in the particular area or areas of assigned responsibility; in addition, documented evidence of positive job-related characteristics, such as accuracy, initiative, judgment, dependability, and ability to organize and
3. Documented evidence of research or scholarly activities.
4. Documented evidence that professional knowledge and abilities have contributed to the improvement of library services.
5. Documented evidence of the ability to interact successfully with all users of the library, faculty, staff, students, and the public, and with members of the library staff.
6. Documented evidence of the ability to instruct patrons in the interpretation and use of library resources.
7. Documented evidence of efforts for continuing professional growth and development; i.e., the enhancement of existing skills and the motivation for acquiring additional skills and training related to the effective performance of professional duties.
8. Documented evidence of a superior level of performance in the areas of service to and instruction of users, such as, bibliographic organization and collection development.
9. Documented evidence of the willingness to assume (and quality of performance in such tasks) temporary assignments of additional responsibility as requested; i.e., service on library standing and ad hoc committees and the analysis and continuing study of library policies and services.
10. Documented effectiveness in supervisory, managerial, and administrative duties, when applicable.
11. Documented evidence of service to the University; i.e., service on University and Senate committees.
12. Documented evidence of professional service to the community.

The library director, library staff, and students will use the appropriate forms to evaluate performance of librarians.

#### **The Promotion and Tenure Committee**

The Promotion and Tenure Committee advises the Provost and Vice Chancellor for Academic Affairs on matters of promotion and tenure. This University wide committee attempts to ensure a fair and consistent application of promotion and tenure standards. The responsibilities of the Promotion and Tenure Committee are to (a) gather the reports of the Department Chair and Peer Evaluation Committee, (b) request any additional information that it deems necessary, (c) examine all facets of the application, and (d) reach an equitable final decision. Responsibilities in the tenure and/or promotion process are discussed below.

### **Composition and Restrictions on Membership of the Committee:**

The Committee will consist of five faculty members, one elected from each Faculty Senate division. The Committee on Committees and Elections will conduct faculty-wide elections for the divisional representatives under procedures outlined in the By-laws of the Faculty Constitution.

1. Department Chairs, Assistant Chairs, and administrators are not eligible to serve on the Committee, but they may act as resource persons to the Committee.
2. Only those full-time faculty members with tenure and the rank of Associate or Professor are eligible for election to the Committee.
3. Membership is for three-year staggered terms. A member may not succeed him or herself.
4. A member of the Committee (Promotion and Tenure) may not serve concurrently on the Faculty Hearing Committee or the Faculty Grievance Committee or a Tenure and Promotion Peer Evaluation Committee, but is eligible to serve on Contract Renewal Peer Evaluation Committees and Post-Tenure Peer Evaluation Committees.
5. No member may be considered for promotion while serving on the Committee. A member who plans to apply for promotion must resign from the Committee by September 21 of the year of the evaluation so that a replacement may be elected. If a member fails to resign by that date, his or her promotion evaluation is aborted.

### **Procedures**

#### **Committee Leadership**

At the final meeting in the spring semester, the Committee will select a Chair and Vice Chair. The chairmanship rotates among divisions. The Vice Chair should represent the next division in the regular rotation. A member may serve as Chair only once during his or her term. The Chair is responsible for conducting meetings, insuring that all pertinent provisions of the Faculty Evaluation Model are followed, using standard parliamentary procedures in reaching decisions, insuring confidentiality of proceedings, and preparing and distributing the Committee's final reports. Should the Chair abstain from a case, the Vice Chair will preside; the Vice Chair will also assist in preparation of final reports.

#### **Coordination with the Office for Academic Affairs**

At the first meeting of the fall semester, the Provost and Vice Chancellor for Academic Affairs briefs the Committee on the results of the previous Committee's recommendations and on the forthcoming candidacies to be considered. Throughout the year, the Committee Chair serves as the liaison between the Committee and the Office for Academic Affairs for matters pertaining to promotion and tenure decisions.

#### **Quorum Requirements and Abstentions**

A quorum of four members is required to conduct preliminary meetings, and a quorum of all five members is required for final decisions. In any decision that involves a conflict of interest on the part of a member, that member is to notify the other members and abstain from all deliberations and votes on that decision.

#### **Report Preparation**

In preparing the Tenure and Promotion Evaluation Report for a faculty member, the Committee is to follow the Format for Evaluation Reports; complete the Tenure, Promotion, and Renewal Form; and be guided by the Standard Performance Rating Scale. Serious consideration must be given to the area weights on the faculty member's Self Evaluation Report(s). The Committee's final recommendation should be an independent judgment based on summaries of the overall record and the Committee's resolution of any disagreements between the candidate and other evaluators. The Committee should strive for consistency over time in applying criteria and making decisions.

### **Periodic Promotion and Tenure Review Process**

The Chancellor and/or the Faculty Senate, at intervals of not more than five years beginning in 2003, will initiate a review of the University Promotion and Tenure policies. At this time an ad hoc Promotion and Tenure Review Committee will be formed to carry out the review. The composition of the Committee will be as follows: the Chair of the Faculty Senate will serve as an ex-officio member of the committee and will appoint as its members five full-time tenured or tenure-track faculty, one from each of the University's Divisions. If possible, at least one of these committee members should have served one term on the University Promotion and Tenure Committee. Upon completion of the review, the Committee will submit a report to the Senate chair and to the Chancellor. The Chancellor will forward the report to the President.

**SECTION II**  
**CHAPTER 4**  
**FACULTY SELECTION AND EVALUATION OF ADMINISTRATORS**

**Department Governance (Chair Responsibilities, Terms, Rotation, and Evaluation)**

The Department Chair is the designated leader and faculty administrative officer responsible for the effective and efficient operation of the department within the policies, directions, and plans of the campus as a whole. The Chair is expected to establish and maintain a collegial, productive work climate, which ensures the academic integrity and curricular coherence of his/her department.

Department faculty members nominate the Chair, or self-nominate, to the Dean of the School or College. The Dean forwards the recommended candidate's name to the Provost for approval. The Chair serves at the pleasure of the Dean and Provost and is continued at their option. No person may be appointed as Chair if his or her appointment would violate the UNC system's anti-nepotism policy 300.4.2 at <http://www.northcarolina.edu/apps/policy/index.php>.

The leadership and general administrative responsibilities of the Department Chair include the following:

1. Engages in strategic planning for the department and the university.
2. Determines course scheduling and staffing and coordinates off-campus course offerings.
3. Plans, schedules, and supervises department meetings and events.
4. Supervises and evaluates office and clerical staff.
5. Supervises the use of, maintenance of, and accounting for equipment, facilities, and supplies and to request and oversees the department budgets.
6. Ensures that the department members meet all University requirements.
7. Administers contracts with and coordinates with agencies where practicum agreements exist.
8. Performs other duties as directed by the Dean, Provost, or Chancellor.
9. Assists the University in maintaining good community relations.

The Department Chair has responsibility for the following elements relating to faculty and instruction:

1. Shows commitment to productive scholarship and research in relation to teaching load and service by facilitating faculty endeavors and through faculty evaluation.
2. Is active in developing grants and funding for research and activities for students and faculty and in professional organizations locally, regionally and /or nationally.
3. Serves as a liaison between the faculty and the Dean by monitoring the quality of programs by:
  - preparing accreditation and campus data and reports;
  - overseeing departmental brochures, websites, and newsletters and reports;
  - evaluating of and recommending tenure or promotion for faculty;
  - coordinating the hiring of new full-time and adjunct faculty;
  - processing grievances regarding faculty and staff; and
  - providing career counseling, monitoring the schedule, assigning instructors, and making recommendation for salary or salary changes.
4. Facilitates requests for texts, supplies, and instructional materials, monitors student internships, senior projects, special exams, and independent studies; evaluates transfer credits; and oversees advising of students.
5. Leads the department in the implementation of affirmative action goals; in acquiring faculty and staff development; and encouraging social relations and activities between faculty, staff, and students that contributes to academic goals and diversity.
6. Makes arrangements for lecturers, Visiting Professors and extra-curricular events with students, alumni, community and professionals.

The Department Chair has the following responsibilities related to students:

1. Hears and acts on student grievances, queries, and criticism of faculty, programs, and grades or complaints against students.
2. Assists the campus offices with placement, recruitment, publications, and academic advisement and assessment.
3. Facilitates department organizations and events.
4. Insures that letters for students concerning recommendation, referrals, recognition, admittance, credit evaluation, course substitution, transfer, dismissal, financial aid, scholarships, fellowships, and employment opportunities are processed in a timely manner.
5. Encourages undergraduate and graduate research and establishes procedures which prepare students for state or national exams.

### **Chair Stipend and Course Release**

While serving as Chair, the individual will receive a stipend of ten percent of his/her base salary. Additionally, Chairs for departments with 10 or more faculty will receive two courses per semester release time. Chairs for departments with fewer than 10 full-time faculty will be granted one course release per semester and one additional course release during the academic year, i.e., a total of three course releases per academic year. Chairs do not receive course releases for teaching graduate courses.

### **Evaluation and Succession of Chairs**

The following policies and procedures govern the manner in which Chairs come into office and the procedure by which one Chair succeeds another:

1. Department Chairs at The University of North Carolina at Pembroke are appointed for four-year terms. A Department Chair can be reappointed with the support of the Department and the recommendation/approval of the Dean and Provost.
2. The normal evaluation process for Chairs will take place during the spring semester of the second year of service using the evaluation form indicated on pp. 92-93. Results of the evaluation form and its contents will be reported anonymously to the Chair by the Dean.
3. During the fall semester of the fourth year of service, the Chair will choose either to step down or to be considered for renewal. If the Chair wishes to be considered for renewal, the Chair will be evaluated again by the department members. As part of the evaluation process, which again includes use of the evaluation form indicated on pp. 92-93, all full-time faculty teaching in the department (hereinafter referred to as department members) will be polled as to whether or not they wish the Chair to be reconsidered for reappointment. Numerical results of the poll of the department members will be reported to the department Chair by the Dean, as will results of the evaluation form and its comments. If a majority opposes reappointment, serious consideration should be given to the appointment of a new Chair.
4. When a Chair is to be considered for reappointment or a new Chair is to be appointed, the appointment process normally will take place during the spring semester of the fourth year of service. All department members teaching in the department will be consulted by the Dean's Office to identify those willing to serve as Chair. Department members will be polled confidentially regarding their preference for Chair. If an outside search for a new department Chair is to be conducted, normal search procedures will be followed.
5. At any time after the first year of a Chair's term, the Dean, at the request or in consultation with department members, may poll the department as to whether or not they wish the Chair to continue to serve. The Dean and Provost will review the results and take the matter under consideration. If a department requests such poll, it may not request another such poll within one year of the date of the first poll.
6. In the event of the organization of a new department, the term of that Chair will start with his or her original appointment and will become a normal part of the rotation beginning with step one.

7. When the necessity for a leave of absence occurs with a department Chair, such as medical or family emergency, the Dean, in consultation with the Provost will, on a case by case basis, make a determination either to grant the leave of absence or to fill the position with a new Department Chair.
8. In the event a Chair permanently leaves his or her post as Chair before the end of the term for any reason, the newly appointed Chair will enter the rotation at step one.

### **Selection of Deans**

When a new Dean of a college or school is to be appointed, at least one Chair selected by the Chairs from the affected college will serve on the search committee. The representative(s) will report on the activities of the search committee to the other Department Chairs at the regular Department Chair meetings. Candidates will make a presentation to and meet with the Department Chairs in that college. The Office of Academic Affairs will poll all the Department Chairs in the affected college or school confidentially regarding their recommendation for the appointment of Dean.

### **Faculty Evaluation of Administrators**

#### **Guiding Principles for Faculty Evaluation of Administrators**

The faculty and administrators share responsibility for the effective operation of the University in fulfilling its mission. Faculty members regularly interact and cooperate with administrators and are affected by their policies and decisions. Though the primary responsibility for preparing evaluations of administrators rests with their superiors, some of whom may seek input from selected faculty members, the faculty also needs a direct role in evaluation. Evaluations conducted by the faculty itself can provide valuable information to the administrator being evaluated, the administrator's immediate supervisor, and the Chair of the Faculty and the Executive Committee.

The principles underlying evaluation of administrators are similar to those for faculty evaluation. Evaluations should be fair, consistent, and aimed both at improving the performance of individual administrators and the offices under their supervision and at serving the mission of the University.

The Faculty Senate conducts faculty evaluations of administrators. The criteria and procedures described below, along with the attached evaluation forms, are designed to elicit faculty input and to address issues with which the faculty is familiar and concerned. All full time faculty members are invited to complete an evaluation form, with the understanding that each faculty member will undertake evaluation in a responsible and professional manner, responding only to questions about which he or she has personal knowledge.

The Faculty and Institutional Affairs Committee of the Faculty Senate shall have the responsibility of reviewing the process by which evaluations of administrators are conducted. The Faculty Senate Executive Committee may modify or simplify the attached evaluation forms and may recommend changes in procedures or forms to the Faculty and Institutional Affairs Committee.

#### **Criteria for Faculty Evaluation of Administrators**

The criteria by which faculty evaluate administrators reflect the mission of the office and each administrator's responsibilities.

#### **Policies and Procedures for Faculty Evaluation of Administrators**

Faculty evaluation of administrators and offices is conducted on a two-year cycle. All such evaluations are the responsibility of the Faculty Senate Executive Committee. (Evaluations of Department Chairs and of Academic Support Services are conducted separately.)

Early in the spring semester of each academic year, the Chair of the Faculty Senate will email notification of the upcoming faculty evaluation of administrators to all full-time faculty members. In March, the Chair of the Faculty Senate will email a link to the electronic survey for evaluation of administrators to all full-time faculty. The Chair of the Faculty Senate will be responsible for compiling the results of the evaluations and submitting a summary report to the Chancellor at the end of the academic year.

**Schedule of Faculty Evaluations of Administrators by the Faculty Senate**

Spring of odd-numbered calendar years:

- Division of Academic Affairs (including all Deans)
- Division of Business Affairs
- Division of Enrollment Management

Spring of even-numbered calendar years:

- The Chancellor
- The Office of the Chancellor
- Division of Student Affairs
- Division of Advancement

**Survey Format for Evaluations of Administrators**

The titles of administrative positions may change over time. Therefore, prior to each even-numbered year and odd-numbered year evaluation period, the Faculty Senate Executive Committee will review the list of administrative positions within the divisions that are scheduled for evaluation to determine the specific positions that will be evaluated. The format for the items in the electronic survey will be as follows:

**[Insert title of administrative position and name of person currently in the position]**

**Survey question:**

Do you have sufficient knowledge of this administrator’s performance to have a basis for evaluation?

**Response options:**

Yes/No

**If response is “Yes,” the following item is available:**

Use the text box below to provide comments regarding strengths and/or weaknesses:

**SECTION II**  
**CHAPTER 5**  
**FACULTY PARTICIPATION IN ACADEMIC POLICY**  
**AND CURRICULUM DEVELOPMENT**

**Academic Policy and Curriculum Matters**

**Faculty Involvement in Academic Policy Decisions**

Section 502 D (2) of The Code of the University of North Carolina mandates that the Chancellor of each of the constituent institutions in the UNC system “shall insure the establishment of appropriate procedures within the institution to provide members of the faculty the means to give advice with respect to questions of academic policy and institutional governance, with particular emphasis upon matters of curriculum, degree requirements, instructional standards, and grading criteria.” At UNCP, the faculty advises the Chancellor in such matters via the procedures of the Faculty Senate and its committee structure.

**Curriculum Development and Revision Process**

The University of North Carolina at Pembroke has a clearly defined process for the development of curriculum, including degree programs, tracks, concentrations, minors, and individual courses:

1. The UNC Board of Governors must approve proposals for new degree programs. These proposals must be prepared according to specified guidelines of the UNC Academic Program Development Procedures.
2. All graduate programs must be submitted to the UNC Graduate Council for review and approval and to the UNC Board of Governors for approval.
3. Curriculum development and revisions proposals are initiated by the faculty of the academic departments by completing one of five standardized curriculum forms: Course Revision/Deletion Forms, New Course Proposal Forms, General Education Course Proposal Forms, Program Revision/Deletion Forms, and New Program Proposal Forms.
4. Curriculum proposals are reviewed by the department and signed by the Department Chair.
5. In the case of proposals affecting other departments, including the cross-listing of courses, the proposal form should be submitted by the originating department. The votes of affected departments are recorded, and the Chairs of affected departments also review and sign the proposal. If the cross-listed course affects a program in the affected department, the affected department may also need to submit a program proposal addressing the change to the program. Cross-listed course numbers must be approved by the Registrar’s office.
6. If the development or change affects Teacher Education, the Teacher Education Committee reviews the proposal and the Chair of that Committee signs it. Graduate curriculum proposals and new graduate programs must first be approved by the Graduate Council before being submitted to the Curriculum Subcommittee. Graduate Teacher Education proposals should be submitted to the Teacher Education Committee before being submitted to the Graduate Council.
7. The Registrar, the appropriate Dean, and the Provost and Vice Chancellor for Academic Affairs must also sign the proposal.
8. Course Revisions and New Course Proposals involving any aspect of the General Education Program are submitted to the Curriculum Subcommittee before the General Education Course Proposal is submitted to the General Education Subcommittee. The only exceptions are proposals involving existing courses with no modifications seeking inclusion in the General Education Program.
9. All other proposals are submitted only to the Curriculum Subcommittee.
10. Proposals involving new courses must attach sample syllabi to the electronic submission. New course numbers must be approved by the Registrar’s office.

11. Curriculum proposals should pass the Department Chair level of approval in the inline curriculum management system as least three weeks prior to the meeting of the first committee that needs to review the proposal (Teacher Education, Graduate Council, or Curriculum—see #6 above for the order of committee approvals) to ensure inclusion on the committee’s meeting agenda. This provides adequate time for Affected Department Chairs (if applicable), Deans, Registrar, and Provost’s Office to review all proposals prior to their inclusion on meeting agendas. Committees may be able to accommodate proposals submitted on a shorter timeline, but will not guarantee that this accommodation can always be made. Meeting schedules for all committees will be made available publicly on the Faculty Senate web page.

A representative from the department submitting the proposals must be present at Curriculum Subcommittee meetings to address any questions or provisions that may arise. The proposal is reviewed and a vote is taken. If the proposal passes, the Chair of the Subcommittee on Curriculum forwards the curriculum matters to the appropriate office or committee.

The Curriculum Subcommittee is responsible for sending to the Academic Affairs Committee all information pertaining to each individual course that is necessary for the Banner System. The Curriculum Subcommittee shall make recommendations to the Academic Affairs Committee on their adoption, and proposals shall move forward based upon the following policies:

- A. The Subcommittee on Curriculum will treat as minor, and send to the Registrar without Academic Affairs Committee and Senate approval, the following types of proposals: course and program modifications involving changes to prerequisites, course descriptions, course titles, and course deletions; the addition or substitution of one or two electives to a program; and program modifications mandated by changes previously approved by Senate. These will be considered minor changes and forwarded to the Chair of the Academic Affairs Committee for his/her signature, unless the Subcommittee on Curriculum has a compelling reason to forward said revisions to the Academic Affairs Committee.
- B. Approved program modifications involving the addition or deletion of tracks, required courses, or more than two elective options at a time will proceed to the Academic Affairs Committee.
- C. All program modifications described in B, once approved by the Academic Affairs Committee, proceed to the Senate.
- D. All new program proposals (including new degrees, academic majors, concentrations, minors, and certificates), deletions of above programs, new General Education course proposals, and General Education course deletions require Faculty Senate approval.
- E. Individual new courses not part of General Education program require approval by the Academic Affairs Committee but not the Faculty Senate.
- F. All curriculum items not requiring Academic Affairs Committee approval will be reported to the Academic Affairs Committee by the chair of the Subcommittee on Curriculum. All curriculum items not requiring Faculty Senate approval will be reported to the Senate by the chair of the Academic Affairs Committee.

A representative of the department whose proposal is being considered must be present at all committee meetings beyond the Curriculum Subcommittee level as necessary to address questions and concerns regarding their proposal.

This multilevel approval process is used to assess the curriculum and the process for curriculum development and revision. In addition, the curriculum and the process are evaluated as part of the institutional assessment made by the Southern Association of Colleges and Schools Commission on Colleges. Curricula of the various departments and the process used to develop curriculum are assessed

by those agencies who accredit particular programs, e.g., at UNC Pembroke, the National Council for Assessment of Teacher Education, the State Department of Public Instruction, the National Association of Schools of Music, and the Council on Social Work Education.

### **General Education Program Changes**

Revisions to the General Education Program may include policy changes or content alterations. Recommendations for General Education Program policy changes are forwarded from the General Education Subcommittee to the Academic Affairs Committee.

Curricular content (course) changes typically emerge from an individual academic department. In the case of proposals affecting other departments, including the cross-listing of courses, the proposal form should be submitted by the originating department. The votes of affected departments are recorded, and the Chairs of affected departments also review and sign the proposal. If the cross-listed course affects a program in the affected department, the affected department must also need to submit a program proposal documenting addressing the change to the program. Cross-listed course numbers must be approved by the Registrar's office.

1. Three types of proposals must be sent to the Subcommittee on Curriculum prior to being submitted to the General Education Committee: new courses seeking inclusion in the General Education Program; changes/modifications to existing courses which are already in the General Education Program; and course deletions of courses in the General Education Program. After approval by the Subcommittee on Curriculum, the General Education Submission Form must be filled out and submitted at least 10 days prior to the next General Education meeting. The General Education subcommittee may be able to accommodate proposals submitted on a shorter timeline, but will not guarantee that this accommodation can always be made. Meeting schedules for the General Education Committee are publicly available on the Faculty Senate web page. If the proposal is approved by the said Subcommittee, it will then continue through the curriculum approval process until final approval is granted.
  - A. After proposals for new courses seeking inclusion in the General Education Program are approved by the Subcommittee on Curriculum, the proposing department may must submit the course to the General Education Subcommittee for review.
  - B. The addition of a General Education course is considered a major change and requires Academic Affairs and Faculty Senate approval.
  - C. After proposals for changes/modifications to existing courses which are already in the General Education Program are approved by the Subcommittee on Curriculum, the proposing department must send the newly revised course to the General Education Subcommittee, which in turn must ensure the changes made to the course warrant continuation as a part of the General Education Program.
  - D. Changes to a General Education course title, number or description are considered minor changes, and may go directly from the Academic Affairs Committee to the registrar. Faculty Senate approval is not required.
  - E. Changes to a General Education course prerequisite are considered major changes and require Academic Affairs and Faculty Senate approval. After proposals for deletions of courses in the General Education Program are approved by the Subcommittee on Curriculum, the course removal proposal must be submitted to the General Education Subcommittee for review. The deletion of a General Education course is considered a major change and requires Academic Affairs Committee and Faculty Senate approval.

2. Two types of proposals are submitted directly to the General Education Subcommittee: existing courses seeking inclusion in the General Education Program and proposals that a course is to be removed from the General Education Program only. The General Education Submission Form must be filled out and submitted for review at least two weeks prior to the next General Education meeting to provide adequate time for affected Department Chairs (if applicable) and appropriate Deans to review all proposals prior to their inclusion on meeting agendas. The General Education committee may be able to accommodate proposals submitted on a shorter timeline, but will not guarantee that this accommodation can always be made. Meeting schedules for the General Education Committee are publicly available on the Faculty Senate web page.
  - a) In the case of proposals for existing courses seeking inclusion in the General Education Program, the proposing department may submit the course directly to the General Education Subcommittee for review. The General Education Subcommittee will present its recommendation for approved courses directly to the Academic Affairs Committee. Such proposals need not be considered by the Subcommittee on Curriculum, unless a change is proposed in the course, in addition to the request for its inclusion in the General Education Program.
  - b) The addition of a General Education course is are considered a major changes and requires Academic Affairs and Faculty Senate approval.
  - c) In the case of proposals for removing a course from the General Education Program only, the General Education Subcommittee will present its recommendation for the approved deletion directly to the Academic Affairs Committee.
  - d) The deletion of a General Education course is are considered a major changes and requires Academic Affairs and Faculty Senate approval.

A representative from the department submitting the proposals must be present at General Education Subcommittee meetings to address any questions or provisions that may arise. The proposal is reviewed and a vote is taken. If the proposal passes, the Chair of the Subcommittee on General Education forwards the curriculum matters to the appropriate office or committee.

**SECTION II  
CHAPTER 6  
FACULTY AWARDS POLICY**

**Awards Granted by the Faculty Awards Committee**

Each year the Faculty Awards Committee will seek nominations for and vote to give the following awards using criteria, guidelines, and procedures defined below.

1. University of North Carolina Board of Governors' Award for Excellence in Teaching: The Awards Committee will select finalists and a nominee for the statewide award.
2. University of North Carolina Board of Governors' Award for Excellence in Public Service: The Awards Committee will select finalists and a nominee for the statewide award.
3. University of North Carolina at Pembroke Outstanding Teaching Awards: The Awards Committee will make up to five such awards each year.
4. Adolph L. Dial Endowed Faculty Awards: The Awards Committee will make up to two awards each year for the Dial Award for Scholarship/Creative Work and the Dial Award for Community Service.
5. Faculty Emeritus: The Awards Committee will recommend candidates to the Board of Trustees.
6. University of North Carolina at Pembroke Outstanding Teaching Award for Part-time Faculty: The Awards Committee will make up to one such award each year.

**Teaching Awards**

Outstanding teaching is recognized by three kinds of awards. The first is the UNC Board of Governors Award for Excellence in Teaching. The Board of Governors authorizes this award, and one recipient is selected each year. The second is the UNCP Teaching Awards given to up to five faculty members each year. The third is the UNCP Part-Time Teaching Award given to up to one part-time faculty member each year.

**The Board of Governors' Award for Excellence in Teaching**

To underscore the importance of teaching and to encourage, identify, recognize, reward and support good teaching in the university, the Board of Governors created system-wide teaching awards designated "Board of Governors' Awards for Excellence in Teaching." One recipient is selected annually from each of the 16 constituent institutions of the University of North Carolina to receive a stipend and a citation.

**Criteria**

Outstanding teaching faculty stand out in all areas associated with teaching excellence. Outstanding teachers demonstrate enthusiasm and commitment to professional growth. Outstanding teachers are effective through clear course materials and presentations, varied instructional strategies, and suitable measures of student learning. Outstanding teachers are successful at engaging student interest, challenging students, and eliciting high levels of student achievement. The Board of Governor's Award recognizes long-term teaching excellence while the UNCP Teaching Awards recognize teaching excellence in the two years preceding the granting of the award.

**Eligibility**

Those eligible for the BOG Award are full-time faculty members with tenure who have taught at least seven years at The University of North Carolina at Pembroke. The recipient must have demonstrated exceptional teaching ability over a sustained period of time. Nominees must be teaching during the academic year in which they are nominated. A faculty member in Phased Retirement is ineligible for the BOG Award for Teaching Excellence. A faculty member on leave from teaching for one term during the academic year is eligible for consideration for the BOG Award for Teaching Excellence. The Board of Governors' Award can be granted only once to a faculty member. Nominees for the Board of Governors'

Award who do not receive that award are automatically nominated for the UNCP Teaching Awards in the same year, and finalist *not* chosen as the UNCP nominee for this award will automatically receive reconsideration for the following BOG Award cycle.

### **Nominations and Procedures**

Each Fall the Chair of the Faculty Awards Committee emails a call for nominations with an attached nomination form to the faculty listserv, to the student listserv (via Student Affairs office), and to alumni (via Director of Alumni Relations) and corresponds with nominees according to the suggested schedule (see table below). Faculty, students, administrators and alumni are invited to submit nominations (by mail or electronically) to the Chair of the Faculty Awards Committee. Individuals cannot nominate themselves. Members of the Faculty Awards Committee cannot submit nominations. The nomination form or letter explains why the nominee deserves this prestigious award. The basis for nomination must be demonstrated excellence in teaching and a record of accomplishments and contributions in teaching over a sustained period of time.

To be considered for the Board of Governors Award a nominee must submit to the Chair of the Faculty Awards Committee a portfolio of supporting materials in a three-ring binder (1-2 inches) with dividers. Each candidate's portfolio includes the following materials:

1. a current resume or curriculum vitae
2. copies of self-evaluations for the three years preceding the nomination
3. copies of Department Chair's evaluations for the three years preceding the nomination
4. a statement of teaching philosophy (approximately four pages, double-spaced), including comments about how the philosophy is carried out in practice and how other professional activities relate to teaching
5. four letters of recommendation from two colleagues and two former students in support of the nomination (the faculty nominee leaves this notebook section empty). BOG candidates should ask that letters of recommendation be sent directly to the Chair of the Faculty Awards Committee who places these in the portfolio along with the original letter of nomination. The FAC will only consider the first four letters of recommendation received (two from colleagues and two from former students). Any additional letters will not be considered in the FAC review of the candidates.
6. copies of syllabi and relevant course materials, including assignments and representative student work, from three different regularly taught course.
7. the summary statistics and the comments from the five most recent sets of student evaluations; a set is defined as evaluations from all courses taught in a given academic year, as described under "Schedule of Student Evaluations" in the Faculty Handbook. (The faculty nominee leaves this notebook section empty and asks the Department Chair or Dean to submit these materials to the Chair of the Faculty Awards Committee)
8. documentation of any professional activities which exhibit a commitment to teaching beyond the classroom, such as publications, presentations, and grant writing. The Chair of the Awards Committee places the nomination letter, support letters, and the student evaluation reports in the portfolio.

After naming two finalists, the Committee will conduct classroom observations of both finalists. After selecting the BOG nominee, the Committee will forward to the Office of Academic Affairs the portfolio of the nominee and a 500-word letter in support of the nominee. The name of the nominee must remain confidential until the UNC BOG announces the statewide awards. At the Faculty Appreciation Dinner, the BOG Award winner assists the Provost in presenting Faculty Awards.

### **Suggested Schedule: Board of Governors' Award**

Early-September	Call for nominations
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Mid-September	Nominations due
Mid-October	Teaching portfolios due
Late October	Two finalists selected. Nominees not selected will be automatically considered for a UNCP Teaching Award.
Mid- November	Classroom observations completed.
Late-November/ Early December	BOG nominee selected at a meeting of the Awards Committee; BOG nominee and other finalists notified by Awards Committee Chair; nominee's portfolio and letter submitted to Office of Academic Affairs.
Late January/ Early-February February	Nominee's materials must be received by the President of the University. The portfolio of the BOG runner-up will be retained for consideration for UNCP Teaching Awards and for the BOG Award in the following year.
April/May Early May	BOG Luncheon in Chapel Hill, and BOG Award publicized at UNCP BOG recipient recognized at the Faculty Appreciation Dinner

### **Responsibilities of Award Recipients**

The recipient of the Board of Governors' Award for Excellence in Teaching serves as Grand Marshal at Commencement in the year of the award. The recipient is expected to deliver the commencement address at the following Winter Commencement. The recipient of the BOG Award is also available to faculty and students for presentations and workshops on teaching.

### **The Board of Governors' James E. Holshouser, Jr. Award for Excellence in Public Service**

The Board of Governors' James E. Holshouser, Jr. Award for Excellence in Public Service was created in 2007 to encourage, identify, recognize, and reward public service by faculty of the University.

### **Criteria**

- Faculty members of any of the 17 institutions of the University of North Carolina are eligible.
- Sustained, distinguished, and superb achievement in university public service and outreach, and contributions to improving the quality of life of the citizens of North Carolina.
- The creativity and impact of a nominee's achievements are of a magnitude that greatly exceeds the normal accomplishments of a productive faculty.

### **Nominations and Procedures**

Each spring the Chair of the Faculty Awards Committee emails a call for nominations with an attached nomination form to the faculty listserv, to the student listserv (via Student Affairs office), and to alumni (via Director of Alumni Relations) and corresponds with nominees according to the suggested schedule (see table below). Faculty, students, administrators and alumni are invited to submit nominations (by mail or electronically) to the Chair of the Faculty Awards Committee. Individuals cannot nominate themselves. Members of the Faculty Awards Committee cannot submit nominations. The nomination form or letter explains why the nominee deserves this prestigious award. The basis for nomination must be demonstrated excellence in public service and a record of accomplishments and contributions in public service over a sustained period of time.

To be considered for the Board of Governors Award, a nominee must submit to the Chair of the Faculty Awards Committee a portfolio of supporting materials in a three-ring binder (1-2 inches) with dividers. Each candidate's portfolio includes the following materials:

1. a current resume or curriculum vitae
2. a copy of the self-evaluation from the two most recent academic years
3. a summary self-evaluation of community service in recent years

4. documentation of service activities, such as conference programs, flyers, Brave Bulletin coverage, photo/videos, and/or newspaper articles, where available and appropriate
5. one letter of documentation from a qualified individual, such as a partner in one major area of public service; the letter addresses the writer's connection with the nominee and assesses the quality of the nominee's contributions
6. other accomplishments relevant to the award for no longer than the past seven years.

After selecting the BOG nominee, the Committee will forward to the Office of Academic Affairs the portfolio of the nominee and a 500-word letter in support of the nominee. The nominee will go on to be eligible for the state-wide award given in October.

**Suggested Schedule: Board of Governors' Award**

Mid-January	Call for nominations
Mid-February	Nominations due
Mid-March	Portfolio due
Early-April	UNCP nominee selected at a meeting of the Awards Committee; BOG nominee and other finalists notified by Awards Committee Chair; nominee's portfolio and letter submitted to Office of Academic Affairs.
Mid-April	Nominee's portfolio, with photo and support letter, must be received by the President of the University.
October	Presentation of the award at a Board of Governors meeting in Chapel Hill, and UNCP BOG nominee publicized at UNCP.

**The University of North Carolina at Pembroke Outstanding Teaching Awards**

To underscore the importance of teaching and to encourage, identify, recognize, reward, and support good teaching in the University, the Board of Governors funds up to five UNC Pembroke Outstanding Teaching awards each year.

**Criteria**

Outstanding teaching faculty stand out in all areas associated with teaching excellence. Outstanding teachers demonstrate enthusiasm and commitment to professional growth. Outstanding teachers are effective through clear course materials and presentations, varied instructional strategies, and suitable measures of student learning. Outstanding teachers are successful at engaging student interest, challenging students, and eliciting high levels of student achievement. The UNCP Outstanding Teaching Awards recognize excellence in the two years preceding the granting of the award.

**Eligibility**

Those eligible for the UNCP Outstanding Teaching Award are full-time teaching faculty who have taught at UNCP for at least two years prior to the year of nomination. Nominees must hold full-time faculty appointments in the current year. Nominees must have received no teaching awards at UNCP in the previous four years.

**Nominations and Procedures**

Each Spring the Chair of the Faculty Awards Committee emails a call for nominations with an attached nomination form to the faculty listserv, to the student listserv (via Student Affairs office), and to alumni (via Director of Alumni Relations) and corresponds with nominees according to the suggested schedule (see table below). Faculty, students, administrators, staff members and alumni are invited to submit nominations (by mail or electronically) to the Chair of the Faculty Awards Committee. Individuals cannot nominate themselves. Members of the Faculty Awards Committee cannot submit nominations. The nomination form or letter explains why the nominee deserves this award. The basis for nomination must

be teaching excellence in the two years preceding the granting of the award. Nominees for the Board of Governors' Award who do not receive that award are automatically nominated for the UNCP Teaching Awards. To be considered for the UNCP Teaching Award, a nominee must submit to the Chair of the Faculty Awards Committee a portfolio of supporting materials in a three-ring binder (1-2 inches) with dividers. Each candidate's portfolio includes the following materials:

1. a current resume or curriculum vitae
2. copies of self-evaluations for the two years preceding the nomination
3. copies of department chair's evaluations for the two years preceding the nomination
4. a statement of teaching philosophy (approximately four pages, double-spaced), including comments about how the philosophy is carried out in practice and how other professional activities relate to teaching
5. copies of syllabi and relevant course materials (e.g. handouts, tests, student papers/projects) from three regularly taught courses
6. the summary statistics and comments from the two most recent sets of student evaluations (a "set" is all of the courses taught in a given semester)
7. two letters of recommendation from one colleague and one former student in support of the nomination (the faculty nominee leaves this notebook section empty). The FAC will only consider the first two letters of recommendation received (one from colleagues and one from former students). Any additional letters will not be placed in the portfolio and will not be considered in the FAC review of the candidates. Candidates should ask that letters of recommendation be sent directly to the Chair of the Faculty Awards Committee who places these in the portfolio along with the original letter of nomination.

The Chair of the Awards Committee places the nomination letter at the front of the portfolio. After the Committee selects the Award recipients, the Chair notifies the Office of Academic Affairs, the award recipients, and candidates who did not receive awards. At the Faculty Recognition Dinner in May, the Provost recognizes Award recipients. Award recipients will receive an honorarium.

#### **Suggested Schedule: UNCP Teaching Awards**

- Mid-January: Announcement of awards and request for nominations by FAC  
Early-February: Deadline for receipt of nominations by the chair of the FAC  
Early-March: Deadline for receipt of portfolios by the chair of FAC  
Mid-April: The Faculty Awards Committee selects up to five award recipients. The Office of Academic Affairs notifies award recipients, and other nominees are notified by the Chair of the Faculty Awards Committee.  
Early May: The Awards Committee returns portfolios. Recipients of the awards are announced at the Faculty Appreciation dinner.

#### **The University of North Carolina at Pembroke Outstanding Teaching Award for Part Time Faculty**

This award was created in spring 2010 to recognize the achievements and successes of part time faculty.

#### **Criteria**

Like full time faculty, outstanding part time teachers demonstrate enthusiasm and commitment to professional growth, are effective through clear course materials and presentations, and demonstrate varied instructional strategies. Outstanding part time teachers are successful at engaging student interest, challenging students, and eliciting high levels of student achievement.

### **Eligibility**

To be eligible for the UNCP Outstanding Teaching Award for Part Time Faculty, a nominee must currently be teaching less than a four course load and must have taught at UNCP for at least two years prior to the year of nomination. Recipients may not be eligible to win this award again for three full academic years.

### **Nominations and Procedures**

Each spring, the Chair of the Faculty Awards Committee e-mails a call for nominations with an attached nomination form to the faculty listserv, to the student listserv (via Student Affairs office), and to alumni (via Director of Alumni Relations) and corresponds with nominees according to the suggested schedule (see table below). Faculty, students, administrators, staff members, and alumni are invited to submit nominations (by mail or electronically) to the Chair of the Faculty Awards Committee. Individuals cannot nominate themselves. Members of the Faculty Awards Committee cannot submit nominations. The nomination form or letter explains why the nominee deserves this award.

To be considered for the UNCP Teaching Award for Part Time Faculty, a nominee must submit to the Chair of the Faculty Awards Committee a portfolio of supporting materials in a three-ring binder (1-2 inches) with dividers. Each candidate's portfolio includes the following materials:

1. a current resume or curriculum vitae
2. a statement of teaching philosophy (approximately four pages, double-spaced), including comments about how the philosophy is carried out in practice and how other professional activities relate to teaching
3. copies of syllabi and relevant course materials (e.g. handouts, tests, student papers/projects) from three regularly taught courses
4. the summary statistics and comments from the two most recent sets of student evaluations (a "set" is all of the courses taught in a given semester) The Chair of the Awards Committee places the nomination letter at the front of the portfolio.
5. two letters of recommendation from one colleague and one former student in support of the nomination (the faculty nominee leaves this notebook section empty). The FAC will only consider the first two letters of recommendation received (one from colleagues and one from former students). Any additional letters will not be placed in the portfolio and will not be considered in the FAC review of the candidates. Candidates should ask that letters of recommendation be sent directly to the Chair of the Faculty Awards Committee who places these in the portfolio along with the original letter of nomination.

After the Committee selects the Award recipient, the Chair notifies the Office of Academic Affairs, the award recipients, and candidates who did not receive awards. At the Faculty Recognition Dinner in May, the Provost recognizes Award recipients. Award recipients will receive an honorarium.

### **Adolph L. Dial Endowed Awards**

The Adolph L. Dial Awards have been established to recognize and honor an outstanding UNC Pembroke individual faculty member who has distinguished himself/herself in one of the following areas: Scholarship/Creative Work and Community Service. One award in each area may be presented at fall convocation each year. Each recipient will receive an honorarium. Joint award nominations (i.e., two people nominated together for the same award) will not be accepted.

### **Dial Awards Eligibility**

1. The recipients must be members of the full-time teaching faculty of The University of North Carolina at Pembroke.
2. The recipients must be in current service at the University, and the award must be presented for work performed while in service at the University.
3. The award must be presented for work performed while in service at the University
4. An award recipient shall be eligible to receive the same award a second time after a period of seven years.

### **Dial Awards Criteria**

1. Award for Scholarship/Creative Work: Scholarship includes activities/accomplishments such as publication in peer reviewed journals in one's discipline, scholarly books within one's discipline, chapters within scholarly books, grant applications, presentations of scholarship at meetings of professional organizations within one's discipline. Creative work includes activities/accomplishments such as painting, sculpture, film, drama, musical composition, choreography of a dance, poetry, a novel, creative reporting, or creative media programming.
2. Award for Community Service: Community Service involves significant accomplishments/activities that make use of one's professional skills to benefit the community and the region served by the University.

### **Dial Awards Nominations and Procedures**

Each spring the Chair of the Faculty Awards Committee emails a call for nominations with an attached nomination form to the faculty listserv, to the student listserv (via Student Affairs office), and to alumni (via Director of Alumni Relations) and corresponds with nominees according to the suggested schedule (see table below). Faculty, students, administrators, and alumni are invited to submit nominations (by mail or electronically) to the Chair of the Faculty Awards Committee. Individuals cannot nominate themselves. Members of the Faculty Awards Committee cannot submit nominations. The nomination form or letter explains why the nominee deserves this award.

To be considered for the Dial Award for Scholarship or Creative Work, a nominee must submit to the Chair of the Faculty Awards Committee a portfolio in a three-ring binder (1-2 inches) with dividers, including the following materials:

1. a current resume or curriculum vitae
2. copies of self-evaluations for the two most recent academic years
3. A few samples of recent scholarship or creative work, such as refereed journal articles, book chapters, conference papers, or programs from juried shows or performances.
4. A brief explanation from the candidate about the quality of the venues (publishers, journals, professional meetings, conferences, performances, galleries, exhibits) in which scholarly or creative works appear.
5. One letter of support from a qualified peer in the nominee's discipline, which addresses the writer's connection with the nominee and the field of study and assessed the quality of the nominee's work and/or the quality of the venue in which it appears. The FAC will only consider the first letter of recommendation received. Any additional letters will not be placed in the portfolio and will not be considered in the FAC review of the candidates. Candidates should ask that letters of recommendation be sent directly to the Chair of the Faculty Awards Committee who places these in the portfolio along with the original letter of nomination.
6. Reviews of work in professional publication, by recognized critics or experts, peer reviewed shows, newspaper or magazine reviews of creative work, and/or letters of acceptance for juried exhibits or productions (if available).

A Candidate for the Dial Award for Community Service may submit to the Chair of the Faculty Awards Committee a portfolio in a three-ring binder (1-2 inches) with the following materials:

1. a current resume/curriculum vitae
2. a copy of the self-evaluation from the two most recent academic years
3. a summary self-evaluation of community service in recent years
4. documentation of service activities, such as conference programs, flyers, Brave Bulletin coverage, photo/videos, and/or newspaper articles, where available and appropriate
5. One letter of documentation from a qualified individual, such as a partner in one major area of community service; the letter addresses the writer's connection with the nominee and assesses the quality of the nominee's contributions. The FAC will only consider the first letter of documentation received. Any additional letters will not be placed in the portfolio and will not be considered in the FAC review of the candidates. Candidates should ask that letters of documentation be sent directly to the Chair of the Faculty Awards Committee who places these in the portfolio along with the original letter of nomination.
6. other accomplishments relevant to the award for no longer than the past seven years.

The Chair of the Awards Committee places the nomination letter at the front of each portfolio. After the Committee selects the Award recipients, the Chair notifies the Office of Academic Affairs, the award recipients, and candidates who did not receive awards. At the Faculty Recognition Dinner in May, the Provost recognizes Award recipients. Suggested Schedule for Dial Awards:

Mid-January	Announcement of awards and request for nominations by the Chair of the Faculty Awards Committee.
Early-February	Deadline for receipt of nominations by the Chair of the Faculty Awards Committee
Early-March	Deadline for receipt of portfolios by the Chair of Faculty Awards Committee
Mid-April	The Offices of Academic Affairs and University Relations, awards recipients, and other nominees are notified by the Chair of the Faculty Awards Committee.
Early May	Recipients of the awards are announced at the Faculty Appreciation Dinner
May	The Awards Committee returns portfolios, except for faculty who wish to be considered a second time.

### **Professor Emeritus Status**

Professor Emeritus shall be an honorary designation for those faculty members and administrative personnel who have retired after at least ten years of distinguished service to The University of North Carolina at Pembroke. The Department Chair and/or peers in the academic community shall be nominated the candidate. This designation requires the recommendation of the Faculty Awards Committee and the Chancellor of the University; the Board of Trustees must approve it. Professor Emeritus status can also be conferred by direct action by the Board of Trustees.

### **Criteria for Consideration as Professor Emeritus**

Faculty Emeritus status shall be conferred only upon those persons whose contributions and service to the University, in the judgment of the University Awards Committee, have been distinguished. Those retirees eligible for consideration include full-time faculty with rank, professional administrative personnel who have earned academic rank, and administrative personnel who have been awarded rank in honor of their contributions to the University. The minimum length of service for the nominees eligible to be considered is ten years at The University of North Carolina at Pembroke. Faculty members must have completed phased retirement before consideration for emeritus status.

### **Criteria for Awarding Emeritus Status**

In reviewing the records of nominees, the University Awards Committee will consider such criteria as:

1. Outstanding performance as a teacher.
2. Significant contribution to the University.
3. Significant professional contributions (research, creative works, etc.).
4. Significant contribution to the community.

### **Procedure**

At the beginning of the fall semester of each academic year, the Chair of the University Awards Committee will ask for nominations of eligible candidates for the honor of Professor Emeritus. Individuals cannot nominate themselves. A letter of nomination must include a complete rationale for the nomination for that specific award. Letters may be delivered electronically. The Committee will solicit the following:

1. A vita from the candidate.
2. Self-Evaluations from the last five years of employment prior to phased or full retirement.
3. A one to two page summary from the candidate of salient contributions during tenure at UNCP.
4. A letter of recommendation (in addition to the letter of nomination), preferably from the department chair or a long standing colleague, that offers a specific assessment of the nominee's teaching, scholarship and service.

The Committee will forward to the Office of Academic Affairs portfolios of candidates who are recommended along with a statement of support for each candidate recommend for emeritus status. At the Faculty Recognition Dinner in May, the Provost shall announce the names of those persons approved by the Board of Trustees and awarded emeritus status.

### **Schedule for Faculty Emeritus Recommendations**

Mid-September	Announcement of awards and call for nominations by the Chair of the Faculty Awards Committee.
Mid-October	Deadline for receipt of nominations by the Faculty Awards Committee.
Mid-November	Deadline for receipt of portfolios by the Faculty Awards Committee.
Late November	Faculty Emeritus are selected and recipients are notified by the Faculty Awards Committee.
Mid-January	The Chair of the Faculty Awards Committee submits materials to the Office of Academic Affairs with a letter of support for each candidate.
February	Professor Emeritus candidates are presented to the Board of Trustees for approval; the Chancellor's office sends invitation for the Faculty Appreciation Dinner
Early May	Faculty Emeriti are recognized at the Faculty Appreciation Dinner

### **Faculty Awards Committee**

#### **Membership of the Faculty Awards Committee**

1. The Faculty Awards Committee has seven elected faculty members.
2. Faculty representatives on the committee are elected for staggered two-year terms. Two members are elected to represent faculty-at-large. The two at-large members are to be elected from two departments not represented among the divisional members. Five members are elected, one from each division. All are elected by the general faculty. Faculty Awards Committee members will be elected according to the procedures outlined in Article V, Sect. 2 A.1 and 2 of the Faculty Senate Bylaws.

3. Membership on the committee will be restricted to full-time faculty and those participating in phased retirement who have been teaching at The University of North Carolina at Pembroke for at least two years.

**Election and Operation of the Faculty Awards Committee**

1. The Committee on Committees and Elections of the Faculty Senate will conduct at-large elections of members to this committee on a staggered two-year basis. A person may serve two, but no more than two, consecutive two-year terms.
2. The committee chair will be elected by the committee from among the returning members at the last meeting of each year.
3. Members cannot be considered for any award during their terms of service.
4. The Faculty Awards Committee should regularly review the criteria, guidelines, and procedures for nomination and selection relating to all faculty awards, and it should recommend changes to the Faculty Senate.
5. Members of the Faculty Awards Committee cannot nominate anyone for an award, nor can they write letters of recommendation for anyone considered for an award.
6. The Faculty Awards Committee will publicize the availability of the various awards each year in order to insure an adequate pool of nominees for each award. Requests for nominations should be widely distributed.

**SECTION II  
CHAPTER 7  
FACULTY RESEARCH POLICY**

**Support for Faculty Research**

The University of North Carolina at Pembroke encourages its faculty in the pursuit of research and other scholarly and creative activity. The University will support these efforts when possible through reassigned time and through direct and indirect financial support. Since state funding for research at a comprehensive University is somewhat limited, faculty are strongly encouraged to pursue external sources of funding for research and related scholarly activities. The institution will provide direct support and assistance through the Office of Sponsored Research and Programs in the preparation of extramural grant proposals, through the Teaching and Learning Center in providing internal grants and reassigned time, and through the academic departments for travel funds and reassigned time. The Teaching and Learning Center administers the Faculty Travel Grants, Summer Research Fellowships, and Directed Academic Leave. Those awards are contingent on the availability of funds from year to year. For more information on these grant programs, see the website for the Teaching and Learning Center at <http://www.uncp.edu/tlc>.

**Sponsored Research and Programs: Faculty Grants, Contracts and Cooperative Agreements  
Procedures for Grant Processing through the Office of Grants**

The Office of Sponsored Research and Programs (OSRP) is responsible for assisting faculty and professional staff members who are seeking external support for activities that are consistent with the mission of the University. The OSRP develops strategies for optimizing successful grant applications and provides a wide range of services in proposal development and grants management. Faculty members are encouraged to access the web page for the Office of Sponsored Research and Programs at <http://www.uncp.edu/academics/research/sponsored-research-and-programs-office>.

All external sponsored program activity must be coordinated through the Office of Sponsored Research and Programs. The Director acts as the Authorized Institutional Official who must review and approve all University grants, contracts, and cooperative agreements. All sponsored research and programs must be consistent with the mission of the University and adhere to its policies and regulations

**Guidelines for Grant Proposal Development**

The following guidelines are critical in the development of proposals for sponsored programs:

1. Adequate budgetary support, both direct and indirect, must be provided by the funding agency and other sponsors. The Office of Sponsored Research and Programs can assist faculty in budget development.
2. Indirect costs must be charged to all budget requests for external funding unless otherwise approved by the Office of Sponsored Research and Programs, or deemed as unallowable costs by the sponsor. The University's indirect cost recovery policy can be found at <http://www.uncp.edu/about-uncp/administration/departments/finance-and-administration/policies-and-procedures/finance-administration/facilities-and-administrative-costs-indirect-cost-recovery>.
3. No unauthorized financial obligations are to be assumed by the University. If matching or In-Kind support is required by the sponsor, then the proposed contribution must be approved by the head of the Department providing the matching or In-Kind support, prior to proposal submission.
4. All grant applications must be submitted to the Office of Sponsored Research and Programs at least five (5) business days prior to the submission deadline to allow for Institutional Review. A completed Proposal Approval Routing Form (available at <http://www.uncp.edu/academics/research/sponsored-research-and-programs-office>) signed

- by the Principal Investigator and his/her Department Chair and Dean, must accompany the grant application prior to submission.
5. All University grant award documents (including sub-awards) must be received by the Office of Sponsored Research and Programs. Principal Investigators are also required to submit award modifications (i.e., budget revisions, changes in scope of work, changes in key personnel) to the Office of Sponsored Research and Programs.
  6. Expenditures of grant, contract, and cooperative agreement funds follow applicable federal, state, and local regulations. No expenditures can be authorized until the Notice of Award is received by the Office of Sponsored Research and Programs and an account is created by the Post Award Office.

The University complies with the Code of Federal Regulations (Title 45, Part 46) regarding Protection of Human Subjects in Research. The University's Human Subjects Review Committee reviews all proposals relative to research of human subjects, whether scientific or social (basic and applied).

Patents, copyrights, licenses, and technology transfers are facilitated by the Office of Sponsored Research and Programs and must follow the Intellectual Property policies of the University. The Office of Sponsored Research and Programs provides assistance on Intellectual Property rights, inventions, and disclosure.

### **The Office of Technology Transfer**

The UNCP Office of Technology Transfer (OTT) is responsible for managing activities instrumental to determining and fostering the marketability of an invention, including obtaining legal and industry counsel, engaging marketing and focus research, contracting for the development of prototypes, and all else necessary to comprehensively and optimally market inventions under its sphere of control. The intent of the OTT is to transfer inventions and innovative knowledge to outside organizations for the benefit of society. OTT serves as a bridge between UNCP researchers and the business community. Through technology transfer, innovations may be incorporated into products and services that directly benefit society, as well as research and education at UNCP. For more information about the Office of Technology Transfer, see the website for that office at <http://www.uncp.edu/academics/outreach/thomas-family-center-entrepreneurship/technology-transfer>.

### **Institutional Review Board for Research with Human Subjects (IRB)**

#### **Purpose and Scope of IRB Approval**

The Institutional Review Board is required by federal law to review and approve ALL research proposals that involve human subjects; that is, any research involving people including adults, children and infants. Special protections are accorded to minors, pregnant women and fetuses, institutionalized populations, the mentally disabled, and economically and educationally disadvantaged persons.

The federal regulations define research as a systematic investigation, including testing and evaluation, designed to develop or contribute to generalized knowledge. A human subject is defined as a living individual about whom an investigator conducting research obtains personal data through intervention or interaction with the individual or identifiable private information.

Federal law requires that all research protocols involving human subjects must be reviewed and approved by an IRB, even if the proposal is not externally funded. The UNC Pembroke IRB must review any human subjects research conducted at UNC Pembroke regardless of outside approval. This includes all research with human subjects conducted at UNC Pembroke including faculty, staff and/or students as research subjects or by UNC Pembroke faculty, staff and or students at any location. Research conducted as part of a classroom exercise or a course assignment MAY be exempt from IRB review. However, the IRB Chair or designate must make that decision based upon a protocol review.

The Institutional Review board at UNC Pembroke ensures that all research that is undertaken protects participants from unreasonable risks to their health, general well-being or privacy. Specifically, the University is concerned that all research and related activities involving the use of human subjects:

1. Protect the rights and welfare of persons participating as subjects, including, but not limited to the protection of identifiable private information.
2. Use as subjects only persons who have freely given informed consent after being made aware of the potential risks and/or benefits of a particular research project, and
3. Allows participants advance knowledge of potential risks of participation and knowledge that these risks have been evaluated by an IRB.

Review and approval of all research protocols is the responsibility of the Institutional Review Board (IRB), a panel of UNC Pembroke faculty, administrators and a community representative. The IRB is responsible for protection of the rights, welfare and privacy of research subjects through an initial review and subsequent oversight of all human subjects research.

Under both federal and university policy, the IRB has the authority to approve proposed research, to require revisions in proposed research to ensure it includes safeguards to protect subjects, or to refuse to approve proposed research if the applicant cannot or will not revise the protocol to prevent identified risks to the subjects. Once the research is approved the IRB has the authority to monitor the research to ensure that research is conducted as approved. Additionally, multi-year research projects are required to be reviewed and re-authorized according to the review process outlined below.

All IRB reviews begin with an application (see application procedures below). Following an initial review of the application describing the nature of the research, a proposal may be:

- *Exempt* from further IRB review
- Appropriate for an *expedited review* by the chairperson of the IRB or a subcommittee of the IRB
- Subject to *full review* by the *full IRB*

Only the IRB Chair, or designee, can determine which type of review is applicable. Regardless of level of review, a record must be kept by the IRB of all research involving human subjects at UNC Pembroke. It is the goal of the UNC Pembroke IRB to support the development of protocols that protect human subjects and support research. Researchers with protocols that lack protection for human subjects will be offered guidance to make necessary modifications to augment approval. No proposal will be rejected without recommendations for modification and resubmission.

Further policy and procedure information, forms to be used for proposals, and links to other useful sites are available on the IRB web site at <http://www.uncp.edu/irb>. The current IRB Chair can be contacted by email at [irb@uncp.edu](mailto:irb@uncp.edu).

## **UNC Pembroke Institutional Review Board (IRB) Policies and Procedures**

### **IRB Membership**

The Provost and Vice Chancellor for Academic Affairs appoints IRB members for Academic Affairs for three-year terms. The Institutional Review Board includes the Director of Sponsored Research (or delegate) and at least five faculty members. The members should reflect the diversity of the institution and the community. A minimum of two members should be experienced in human subjects research. There must be one non-scientist member and one member who are not affiliated with UNC Pembroke. A chair is elected at the first meeting of each academic year. Names of current IRB members and their email addresses are located on the IRB website <http://www.uncp.edu/irb>

No IRB member may participate in the review of a proposal in which the member has a conflict of interest. Specialists may be invited by the IRB to provide technical assistance, if the subject matter is deemed outside the expertise of the sitting IRB members.

### **Operating Procedures**

The University IRB will review all research involving human subjects carried out at UNC Pembroke or by UNC Pembroke faculty, staff or students. The IRB is responsible for approving research protocols, requiring modifications, or disapproving research. The IRB is responsible for the development of all forms requesting review and guidelines for informed consent that reflect federal regulations. The IRB will notify researchers of their decisions by email. Additional written notification will be provided upon the request of the applicant.

The IRB will meet monthly during the academic year. The meeting schedule for each academic year will be discussed and set during the August meeting of each year. Announcement of a full Review Board meeting will be placed on the IRB website at least 5 working days in advance of each meeting. A majority of the membership must be present to consider any proposal and a majority vote is required for any Board action. For board meetings where a full board review of a protocol takes place, the principal investigator (or delegate) should attend to present a review of the research and answer any relevant questions posed by the committee.

The IRB will keep adequate records of all protocols and requests for continuing review, including decisions made. The minutes of each IRB meeting will include the names of members who attended, actions taken by the Board, the outcome of voting on research protocols including numbers of votes for and against, the rationale for requiring modifications to a protocol or informed consent process, and a summary of discussion of controversial issues and their resolution. Records of all protocols, requests for continuing review, and records of IRB reviews and meeting minutes will be kept on file for a minimum of three years.

### **IRB Proposal Submission and Review Procedures**

An application for IRB review includes a completed IRB Protocol Application (available online at <http://www.uncp.edu/academics/research/institutional-review-board/forms-and-guidelines>) and all supporting materials. Supporting materials typically include all recruitment materials, consent forms, survey instruments, debriefing statements, data use agreements, and human subjects research training documentation (see 8-3.B.5). IRB applicants should submit one electronic copy of the application and all supporting materials to [irb@uncp.edu](mailto:irb@uncp.edu). Additionally, one original signed copy of the application should be sent to the current IRB Chair via Campus Mail.

IRB review requests will be acknowledged by electronic mail within three business days of receipt. The IRB Chair or designee will evaluate the protocol and determine the required level of review and inform the Principal Investigator of this decision as soon as it can be determined. Based upon the Code of Federal Regulations, Title 45 Part 46, the UNC Pembroke IRB will utilize the following categories of review:

### **Exempt from Review**

Projects that are traditionally exempt from an expedited or full IRB review include normal educational practices, educational tests, surveys, instruments, or observation of public behavior when subjects cannot be identified and the information gathered will not put the subjects at risk, research using existing data, documents, and records if publicly available and the subjects cannot be identified, and the evaluation of public benefit service programs. Applications that are exempt from review will be notified by electronic mail as soon as that decision is made.

Protocols that are developed for either instructional purposes or teaching research methodology and are not designed to contribute to generalized knowledge may be exempt from review. Under these circumstances the instructor assumes ethical and professional responsibility to monitor the progress of all research in the classroom. Research on vulnerable populations, including minors, pregnant women, fetuses, prisoners, seriously ill and mentally incapacitated individuals may not be exempt from review. An Exempt Review determination does not imply that research subjects are exempt from human subjects protections.

Protocols that are approved as exempt from review are valid for three years. Researchers may request an extension beyond three years if necessary by contacting the IRB Chair and submitting an updated Protocol Application.

### **Expedited Review**

Expedited review covers research that poses no more than minimal risk to human subjects. “Minimal risk” is the risk encountered in everyday life. Expedited review may be employed for minor changes in previously approved research, collection of small blood samples, collection of data through non invasive procedures routinely employed in clinical practice, collection of data from voice, video, digital or image recordings, the use of materials that have been collected solely for non research purposes, research on individual or group characteristics or behavior, or research employing survey or interview methodologies. Expedited review may be used for these types of research regardless of the age of the subjects.

Expedited reviews are completed by the IRB Chair or designee and at least two additional IRB members. Expedited reviews are generally completed within two weeks. Minor modifications to the protocol may be requested by IRB members participating in the review during this review process. The applicant will be notified by electronic mail as soon as a decision is made.

Protocols that are approved through an expedited review are valid for one year. Researchers may request an extension beyond one year if necessary by contacting the IRB Chair and submitting an updated Protocol Application.

### **Full Review**

Full IRB review includes research where the subjects can be identified and the data collected poses risks to the subjects, in terms of their financial or social standing, employment or criminal or civil liability. It also includes research that involves more than moderate exercise, research on individual or group characteristics or behavior that employs deception of the subjects or where they are placed under psychological or emotional stress, and research that poses potential physical, psychological, social, legal or other risks to the subjects.

Research targeting vulnerable populations, including minors (unless an expedited review is allowed), pregnant women and fetuses, institutionalized populations, the mentally disabled, and economically and educationally disadvantaged persons will receive a full review to insure that adequate protections are in place.

A protocol that will be reviewed by the full board will be assigned to the next available board meeting on the schedule, but no sooner than two weeks from submission in order to insure adequate time for the board members to conduct their review. The research protocol will be distributed electronically to all board members two weeks prior to the meeting. A majority of board members must be present at the review meeting. The Principal Investigator will be invited to present the research protocol and answer questions at this meeting. The protocol must be approved by a majority of the members present. Members of the IRB who vote to disapprove a protocol shall submit their reasons in writing to the IRB Chair. Protocols that are approved through a full review are valid for one year. Researchers may request an extension beyond one year if necessary by contacting the IRB Chair and submitting an updated Protocol Application.

### **Changes to Existing Protocols, Adverse Events, and Renewal Procedures**

Regardless of the level of review or existing approval, any changes made to the research protocol must be submitted to the IRB for review in writing prior to their implementation, as they may affect the status of a review. Additionally, the Principal Investigator is responsible for reporting any adverse or unanticipated events that may occur during their research to the IRB immediately, and no later than one week from their occurrence.

In order to submit changes to an existing protocol, Principal Investigators should add the proposed changes to their IRB Protocol Application and submit it electronically to the IRB Chair.

In order to apply for a renewal of an existing protocol, the Principal Investigator should notify the IRB no later than 30 days prior to the expiration of their approval. Renewal requests should include the submission of an electronic copy of the approved IRB Protocol Application with changes added to the file. In addition, any new recruitment materials, consent forms, or other supplementary materials should be submitted with the renewal application.

It is the Principal Investigator's responsibility to keep an electronic copy of their approved IRB Protocol Application in order to facilitate the submission of changes and renewal requests.

### **Training on Human Subjects Research**

To provide investigators with up-to-date information about the regulatory requirements for conducting research, the IRB requires that each researcher review core concepts for the responsible conduct of research with human subjects. In order to submit an IRB, Principal Investigators must have completed an OHRP approved training within the last 2 years and submitted documentation to the IRB Chair. The IRB will provide a link to an approved web-based training module on the IRB website (<http://www.uncp.edu/irb>).

### **Research Misconduct in Human Subjects Research**

The IRB will promptly report any potential research misconduct involving human subjects by Principal Investigators affiliated with UNC Pembroke to the Provost and Vice Chancellor for Academic Affairs. The procedures for handling an allegation of research misconduct are defined in the section below on "Misconduct Related to Research."

Additionally, the IRB is required by federal law to promptly report certain incidents to the Office for Human Research Protections (OHRP), a division of the Department of Health and Human Services. These incidents include unanticipated problems in research that involve risk to subjects or others, serious or continuing noncompliance with federal policies or the requirements or determinations of the IRB, and any suspension or termination of IRB approval. The Principal Investigator and the Provost and Vice

Chancellor for Academic Affairs will receive a copy of the report submitted by the IRB to OHRP.

### **Additional Resources and Further Information**

The IRB web site includes information on the most up to date federal guidance on specific situations in human subjects research and how they apply to typical research scenarios at UNC Pembroke. In addition, the IRB website provides links to other sites that provide additional information on government regulations and resources for the protection of human subjects in research. Faculty members and Principal Investigators contemplating research proposals involving human subjects should examine the website and provided links for guidance applicable to their particular project.

### **Misconduct Related To Research**

#### **Guidelines For Consideration Of Cases Involving Misconduct In Academic Research**

##### **Guiding Principles**

- A. Definition of Misconduct in Academic Research by Faculty
  - 1. The intentional misrepresentation, fabrication, or falsification of data gathered in academic research or in the procedure used to gather, analyze, or validate such data.
  - 2. Plagiarism -- The use of ideas, language, or the results of creative endeavors without appropriate referencing or crediting of the original source(s).
  - 3. Other practices that seriously deviate from those commonly accepted within the academic community for proposing, conducting, or reporting research, including inappropriate crediting of authorship (or lack of crediting) in cases in which students, alumni, or other parties have contributed to such research.
  - 4. The material failure to comply with federal requirements regarding the use of laboratory animals, the treatment of human subjects, or the expenditure of grant funds as stipulated conditions for specific grants, contracts, or as general requirements of the granting or contracting agency.
  - 5. Misconduct in academic research is to be carefully distinguished from honest differences in the evaluation of data gathering or analysis practices, and from honest differences in interpretations or judgments of data. Honest differences of opinion are the lifeblood of a vigorous and productive discipline. The confusion of honest differences of opinion with intentional misrepresentation could easily be detrimental to the discipline and restrict academic freedom.
  - 6. Similarly, honest errors in collecting, analyzing, and reporting data are not considered to be instances of academic misconduct. It is the responsibility of those investigating the matter to determine, with all the resources at their disposal, the delicate and complex question of whether the alleged misconduct arises from honest error, minor to gross negligence, or outright misrepresentation. Honest errors arising from negligence reflect simply bad research and should be dealt with as an issue separate from deliberate deception, misrepresentation, plagiarism, and unethical or illegal practices in the conduct of research or creative activity.
- B. General Policies Regarding Misconduct in Academic Research
  - 1. Policy. Misconduct in academic research poses a fundamental threat to the process of academic research and creative endeavors and therefore cannot be tolerated.
  - 2. Handling of allegations. Allegations of misconduct in academic research are a serious matter. They must be handled in a prompt and appropriate manner with due respect and concern both for the accused and the accuser. The responsibility

for coordinating these procedures rests with the Provost and Vice Chancellor for Academic Affairs unless there is a conflict of interest, in which case the Chancellor will assume this responsibility.

3. Protection of the accused. Until a decision as to the facts of the case is made through the judicious application of the policies and procedures described in this document, the accused is to be protected by the institution. Individual parties involved must be shielded from the possible damage arising from allegations of misconduct, while ensuring a prompt and effective response to the allegations raised. The primary mechanism for this protection will be strict confidentiality. The damages resulting from spurious allegations of misconduct in academic research, and inappropriate assumptions of guilt must be minimized.
4. Protection of the accuser. The accuser is also to be protected by confidentiality and anonymity in the initial handling of the case until it becomes necessary for the identity of the accuser to be revealed to the accused and to other parties that need to know. Except under extraordinary circumstances, the accused has the right to confront the accuser. Special care in this respect must be taken in cases where the accuser is subordinate to the accused. Spurious, frivolous, or irresponsible accusations of misconduct are, themselves, a form of academic misconduct and should be dealt with accordingly. Individuals must be protected by the institution from these types of allegations.
5. Confidentiality. An investigation of an allegation of misconduct in academic research must be handled with strict confidentiality at all times.
6. Conflict of interest. A conflict of interest, real or perceived, must be avoided in the investigation of an allegation of misconduct in academic research. The membership of the investigating committee must be screened to avoid this difficulty.
7. Timeliness. Fairness and justice to the parties involved require that allegations of misconduct in academic research be resolved in a timely manner. Any deviation from the time guidelines given below should involve the preservation of the fair and appropriate handling of the investigation. When a departure from these time constraints is judged to be necessary, the extent and specifics of the departure must be documented and agreed to in writing by the parties involved.
8. Documentation. The investigation of an allegation of misconduct in academic research must be carefully documented starting with the initial allegation and proceeding through disposition and reporting of findings. Thorough documentation is important for several reasons, including potential legal proceedings that may follow from such cases. Every substantive aspect of the investigation needs to be documented. Personnel decisions or other actions arising from the disposition of the case need to be justified in the documentation.
9. Organization. There will be three stages involved in the handling of an allegation of misconduct in academic research. The first stage, which is the internal (Inquiry) stage, involves the gathering of facts as quietly and confidentially as possible with only the Provost and Vice Chancellor for Academic Affairs, the Inquiry Committee, and the faculty member(s) named in the allegations being informed of the proceedings. If the inquiry indicates that a formal investigation is warranted, then an Investigating Committee is formed as described below, and the second (Investigation) stage begins. At this stage, the Provost and Vice Chancellor for Academic Affairs informs the Chancellor that such proceedings are underway. The third (Summary) stage involves actions taken by the Provost and Vice Chancellor for Academic Affairs based on findings in the first two stages.

10. If in the Inquiry stage it is found that a full investigation (second stage) is appropriate, then the University has the responsibility of informing various parties both within and external to the university community. Those who need to be informed will depend on the circumstances, but may include: (1) department chairs, administrators, or other faculty who will be affected by the investigation; (2) persons who have been or are currently in collaboration with the accused; and (3) any funding agency that requires reporting under such circumstances. It is the responsibility of the Investigating Committee to determine the extent of such reporting at the outset of the official investigation.

### **Procedures for Handling an Allegation of Academic Misconduct**

#### A. Overview

1. There are three stages in the handling of allegations of misconduct in academic research. They are the Inquiry stage, the Investigation stage, and the Summary stage. The Inquiry stage begins with the initial allegation of misconduct in academic research and ends when the Provost and Vice Chancellor for Academic Affairs determines that the case does or does not warrant further action. The Investigation stage begins if and when it is decided that the case requires a full investigation and ends with a summary of findings as to the facts of the case and a recommendation for action forwarded to the Provost and Vice Chancellor for Academic Affairs. The Summary stage involves actions taken by the Provost and Vice Chancellor for Academic Affairs based on the findings of the first two stages.
2. For purposes of consistency, a "day" is defined as a weekday during which classes are normally in session. University holidays are not to be counted toward the deadlines established in this document. Timeliness for proceedings that extend over lengthy holidays may need to be modified as circumstances require. If so, these modifications must be documented and agreed to in writing by the parties involved.

#### B. Specific Procedures

##### Inquiry Stage

1. An allegation of misconduct in academic research should be directed to the Provost and Vice Chancellor for Academic Affairs. The Provost and Vice Chancellor for Academic Affairs determines, in consultation with the complainant, whether the charges are of a serious nature. This decision must be dated and documented in a specific file to be retained by the Provost and Vice Chancellor for Academic Affairs. Except in cases of conflicting interest, or other sensitive or special circumstances, the department chair of the faculty member(s) named in the allegation is informed of the matter at this time.
2. Upon finding that the complaint deserves further examination, the Provost and Vice Chancellor for Academic Affairs should initiate the Inquiry stage. This stage should be concluded within 30 work days.
  - 2.1 The Inquiry Committee is to be formed by the Provost and Vice Chancellor for Academic Affairs. This committee may include the department chair involved and members of any research oversight committees that may have an interest in the present matter. Decisions to involve or not involve other parties in the inquiry must be made in light of the need to avoid real or apparent conflicts of interest and to maintain appropriate confidentiality.
  - 2.2 The Provost and Vice Chancellor for Academic Affairs will name one of the committee members to serve as chair. This individual will coordinate

the collection of documents, correspondence, and all other appropriate materials that are necessary for conducting the inquiry.

- 2.3 The faculty member(s) named in the allegation must be notified of the initiation of the proceedings.
3. The accused has a right to attend the Inquiry meetings at which evidence is presented and discussed, and to examine and respond to any evidence or testimony presented. A discussion of the allegation with the accused should be one of the first elements of the Inquiry Committee proceedings. The accused may not attend the final meeting of the Inquiry Committee at which a decision is reached as to whether the allegation warrants a formal investigation. However, no new evidence used against the accused may be presented or discussed at this final meeting. Within these limits, Inquiry Committee meetings may be attended only by Inquiry Committee members, the accused, persons presenting evidence or testimony, and others who have, in the judgment of the Provost and Vice Chancellor for Academic Affairs, a substantive and demonstrable need to know. The Inquiry shall be conducted under the strictest confidentiality possible.
4. If the Inquiry Committee finds that a full investigation of the allegation is not warranted, then any reference to the allegation must be removed from the faculty or staff member's personnel file, as well as from any special files pertaining to this matter. All documentation regarding the allegation must be destroyed by the Provost and Vice Chancellor for Academic Affairs.
5. If the Inquiry Committee finds that a full investigation of the allegation is warranted, the Provost and Vice Chancellor for Academic Affairs should (a) appoint an ad hoc committee to conduct an investigation composed as described below; (b) take appropriate action to preserve and protect any data, records, or evidence pertaining to the case; (c) notify the individual(s) involved of the proceedings being initiated and of their opportunity to appear before the committee in their own defense; and (d) report the initiation of the investigation to any funding agency that may be involved. The Provost and Vice Chancellor may require that the accused individual(s) temporarily cease research activities if it is determined that a continuation of such activities may result in risk or harm to parties involved. The Provost and Vice Chancellor for Academic Affairs shall inform the UNCP Chancellor that a formal investigation of Academic misconduct is underway.

#### Investigation Stage

1. The Chair of the Investigating Committee is to be designated first by the Provost and Vice Chancellor for Academic Affairs. The nature of the research, possible conflicting interests, and departmental or administrative concerns will guide the choice of this individual.
2. The Investigating Committee should be composed of seven members including: (a) the appointed chair; (b) one member representing the University Senate; (c) one member representing the Faculty Development and Welfare Subcommittee; and (d) members representing the committees involved with research on the UNCP campus. The Provost and Vice Chancellor for Academic Affairs and the Chair of the Investigating Committee will confer on the six appointments (other than the Committee Chair) to assure that the Committee includes faculty with the particular expertise relevant to the nature of the allegation. These appointments shall be full-time faculty members with no apparent conflicts of interest and who are deemed qualified and appropriate to work in this capacity.
3. The Committee shall conduct a prompt and thorough investigation in order to ascertain whether the individual has violated this policy, and if so, to what extent.

- Early in the course of the investigation, the Committee shall discuss the matter in confidence with the accused individual and with all persons with whom the accused has collaborated in relation to the work under review. Throughout the investigation, the Committee shall be sensitive to the effects of the proceedings on the individual, protecting the rights of the accused, and avoiding disclosure except to individuals who need to be involved in the investigation.
4. One or more hearings shall be conducted by the Investigating Committee in which information and evidence relevant to the allegation are presented, discussed and evaluated. It is the responsibility of the Committee chair to schedule and conduct the hearing(s) as well as to provide relevant evidence, documents, and recorded testimony to Committee members. Interviews with those having special knowledge relevant to the allegation may take place in the hearing(s), as well as a review of written documents, publication records, raw data or computer files, and transcripts of testimony or discussion from previous hearings and interviews.
  5. The accused individual has the right to attend these hearings, to examine all documents or evidence used to question persons being interviewed, and to introduce any evidence, documents, or interviews in support of the views of the accused. At the conclusion of the hearings, a separate meeting of the Investigating Committee shall be conducted to reach a decision as to the facts of the case. The accused individual may not be present at this final meeting, and no new evidence of any sort may be presented at this meeting. The accused individual must have access to all information used by the Committee, and must be given the opportunity to respond to that information.
  6. The hearings may be attended only by those whose presence is required for the proceedings to take place. This would normally include the members of the Investigating Committee, the accused individual, and persons needed to present evidence or testimony. Others may be permitted on a need-to-know basis at the discretion of the chair of the Investigating Committee in consultation with the Provost and Vice Chancellor for Academic Affairs if necessary.
  7. The scope of the investigation shall be at the discretion of the Committee chair according to the charge and the facts. The Committee shall consider only such evidence as is presented at the hearing(s). The Committee shall use its judgment in deciding what evidence presented is fair and reliable. A written transcript shall be kept of all proceedings in which evidence is presented. Upon request, a copy of this transcript will be furnished to the accused faculty member at the University's expense.
  8. Within 30 work days from the beginning of the official investigation, the Investigating Committee should produce a preliminary report to which the accused individual may respond, in writing, before final recommendations are made. A period of 15 work days is allowed for a response from the accused unless it is determined by the Committee chair that more time is needed to ensure fair and appropriate handling of the matter. The specifics of any agreement to alter this timing must be documented and signed by the accused, the Committee chair, and the Provost and Vice Chancellor for Academic Affairs.
  9. Within 60 work days from the beginning of the Investigation stage, the Investigating Committee must submit to the Provost and Vice Chancellor for Academic Affairs a written report which describes their findings as to the acts of the matter. This report should specify whether a majority of the committee believes that the accused individual has or has not engaged in substantive academic misconduct as defined in this document. If a majority of the Committee

has determined that a substantive violation has occurred, the report should address the extent and seriousness of that violation. The report should also recommend a course of action to the Provost and Vice Chancellor for Academic Affairs. Such actions may involve personnel decisions, sanctions, notification of a funding agency, notification of collaborators, or any other appropriate action.

#### Appeal Process

The individual faculty member may appeal the decision reached in the above process through the standard faculty committees: the Faculty Grievance Committee or the Faculty Hearing Committee, as appropriate. Faculty members who feel that they have cause for a grievance in any matter other than suspension, discharge, nonreappointment (including denial of permanent tenure) or termination, which are under the jurisdiction of the Faculty Hearing Committee may submit a petition for redress to the Faculty Grievance Committee.

**UNCP FACULTY HANDBOOK  
SECTION III**

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**FACULTY REGULATIONS**

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**SECTION III  
CHAPTER 1  
FACULTY RESPONSIBILITIES**

**Course and Teaching Responsibilities**

**University Calendar**

The University publishes an annual calendar in that includes dates for the beginning and ending of classes, final exams, drop-add and withdrawal from courses, holidays, and other significant events during the academic year. The calendar is printed in the University Catalog and also available on the website of the Office of the Registrar at <http://www.uncp.edu/registrar/>.

**Class Schedule**

Monday, Wednesday, and Friday class periods are 50 minutes long and are scheduled as follows:

8:00- 8:50  
9:05- 9:55  
10:10-11:00  
11:15-12:05  
12:20- 1:10  
1:25- 2:15  
2:30- 3:20  
3:35- 4:25

The class periods on Tuesday and Thursday run for 75 minutes and are scheduled as follows:

8:00- 9:15  
9:30-10:45  
11:00-12:15  
12:30- 1:45  
2:00--3:15  
3:30--4:45

Evening classes and weekend classes offer educational opportunities for students who are unable to enroll in the day program. Courses are offered at the undergraduate and graduate levels. Evening classes typically meet from 5:00 to 5:50 and from 6:30 to 9:30 pm. Some classes are scheduled at other hours to accommodate special needs of students. Faculty members should notify their Department and the Office of the Registrar in the event such changes are made.

**Emergency University Closing Policy**

**Emergency Weather Information Hotline  
910-521-6888**

It is the policy of the University of North Carolina at Pembroke to protect employees, students, and visitors from adverse weather or other conditions of a serious nature. The University does not, as a matter of general practice, close its operations or cancel classes because of bad weather. Exceptions to that practice are rare and occur only when the weather is particularly severe and poses a clear and present danger to the safety and welfare of students, faculty, or staff. Classes taught off-campus (e.g. Sandhills

CC, Richmond CC, and Fort Bragg, etc.) are held unless conditions at those sites are hazardous or the off-site facility is closed. UNCP follows the decisions made by those local sites.

It is recognized that, in some individual cases, travel may be hazardous even though closing is not warranted. In those cases, everyone is advised to take all reasonable precautions in coming to campus given his/her personal circumstances. The University expects students to make every effort to attend class but not to place themselves in dangerous driving conditions. Faculty members will accommodate those students who are unable to attend class because of hazardous weather conditions. Faculty and staff who are commuting to the UNC Pembroke campus or to one of the University's off-campus sites should assess driving conditions and notify their department heads/deans if they are unable to meet their classes. Arrangements should be made as early as possible to allow for student notification.

When the threat or the presence of adverse weather presents a safety hazard to University personnel and students, it is the responsibility of the Provost/Vice Chancellor for Academic Affairs to evaluate weather conditions and determine if they require modifications to the regular campus class or normal work schedule. However, only the Chancellor can close the University.

Should the decision be reached to modify daily operations, the Special Assistant to the Chancellor, or designee, will announce modifications to the schedule via media outlets, the University website, switchboard operations/emergency telephone number (x6888), and campus email. In addition, students, faculty, and staff are encouraged to check the University website when the possibility of adverse weather arises. Updates about the status of University operations will be posted on a continuing basis.

Announcements of modifications to daily operations may take one of three forms: a) classes are suspended, but offices will remain open. Emergency employees must report to work, while other employees are strongly urged to consider campus conditions and the weather conditions in their residential area, as well as law enforcement reports of road conditions, before making a decision whether or not to come to work; b) the University must delay the start of classes and business operation but emergency employees must report to work; and c) classes are suspended and all University offices are closed. Emergency employees must report for work. Employees who have not been designated "emergency" must not attempt to come to their worksites. More information about the University Adverse Weather Policy can be found at the website for the Office of Business Affairs at <http://www.uncp.edu/about-uncp/administration/policies-and-regulations/all-policies/pol-042502-adverse-weather-and-emergency-closing-policy>.

### **Faculty Attendance**

#### **Expectations about Meeting Classes**

Effective coordination of instruction across the campus necessitates that both students and faculty understand and adhere to established class schedules. The standard hours of instruction are listed above. Faculty are expected to meet every scheduled class (or arrange some appropriate alternative activity). Any deviation from the standard schedule is to be discussed with and approved by the department chair and the dean of the relevant school or college.

All faculty are reminded that it is a matter of personal and professional courtesy to begin and end each class period at the scheduled time. Holding classes beyond the scheduled time, in particular, often means that students are late for their subsequent classes and that students disrupt those classes by arriving late for them, as well as possibly missing important information due to their tardiness.

#### **Absences from Classes**

See Section II, Chapter 1 on Faculty Personnel Policies for information on faculty emergency absences from class and class absences for professional reasons. To the degree feasible, faculty members who will

be absent from any of their classes should (a) notify their Department of their absence and (b) insure that students have some meaningful educational experience during the absence. Only when other arrangements cannot be made should any class be cancelled.

### **Course Loads**

#### **Teaching Load and Service Responsibilities**

The normal teaching load is twelve semester hours or the equivalent per semester. Faculty teaching both undergraduate and graduate courses will have a teaching load of 21 semester hours for the academic year in which the graduate course occurs. Faculty teaching only graduate courses will have a teaching load of 18 semester hours for the academic year. Faculty involvement in service responsibilities, including advisement, sponsorship of organizations, and University committee work, is important and is encouraged. However, faculty are encouraged to serve on no more than three major committees for the academic year in addition to their teaching and departmental responsibilities. It is further suggested that faculty choose those committees and other responsibilities in which they have a strong interest and to which they can make the most meaningful contributions.

#### **Overload and Overload Compensation Policies**

Since faculty have scholarship and service responsibilities as well as teaching assignments, overloads should be assigned and accepted carefully so that faculty do not become over extended. With the same cautions applied to external activities for pay, the priority must be faculty meeting their regular campus professional responsibilities.

The Provost's Office distinguishes between two types of overload: those funded out of the general fund and those funded through self-supported revenue courses through Distance Education. Faculty may teach a maximum of one course overload (3 credits) per semester with the approval of their dean. Overloads funded via Educational Outreach may be taught by faculty at their election with the department chair's and dean's concurrence. However, any overload supported by general funds shall only be authorized by the dean when it is impossible or impractical to hire part-time faculty because of last minute staffing problems, lack of qualified part-time instructors, or other factors. Deans shall notify the Provost's Office whenever they approve an overload paid from the general fund. The notification should include a brief explanation consistent with this policy. The same maximum overload of one course (3 semester hours) will be allowed for faculty members who have reassigned time for other duties, i.e., Chairs, Coordinators, etc. Overloads exceeding three hours will only be approved in the rarest circumstances. They, and other exceptions to this policy, must be approved in advance by the Provost.

With the approval of the department chair and dean, faculty may engage in additional university assignments (example: special projects, program/degree development) during a semester as long as the extra assignments do not exceed the equivalent of one additional course per semester. The compensation for the work will be allowed even if it exceeds the current 20% limitation. For department chairs, the overload pay allowed will be 20% of their total annual salary of base plus stipend.

### **Course Syllabi**

Each faculty member is expected to have a formal syllabus for each course he or she teaches, including online courses. It is the responsibility of each department chair to have syllabi for all courses taught in his or her department and to make certain that the syllabi are current. The department chair should make sure that new faculty members are aware of the availability of the syllabi. Syllabi for general education courses should contain a statement as to how the particular course assists in meeting the objectives of general education at the University. Each term, faculty members should provide a copy of the course syllabus to students in their courses. Faculty members should also explain their expectations for the course and the attendance policy and other participation requirements for the course.

Dual-listing of undergraduate (appropriate 4000-level) courses with graduate courses should occur rarely. When such dual listing does occur, the syllabus for such courses enrolling students from both levels must clearly reflect expectations for graduate students substantially beyond expectations for undergraduate students. Such differences should include, but not be limited to, more rigorous assignments requiring a greater depth of understanding, analysis and synthesis of knowledge and skills.

It is the responsibility of the Department Chair to ensure that each departmental syllabus conforms to the UNCP Syllabus Checklist which is available at the Office of Academic Affairs at <http://www.uncp.edu/about-uncp/administration/departments/academic-affairs/forms>. A copy of this Checklist, completed and signed by the professor, should be attached to each syllabus. The Department Chair should provide a signed statement verifying that all departmental syllabi conform to the guidelines listed in the Checklist.

Information about accommodations for students who have registered with the Accessibility Resource Center (ARC) should be included in each syllabus. Specific model language can be obtained from ARC. In addition, the UNCP Emergency Information Hotline number is a useful addition to each syllabus.

### **Course Materials**

The University operates a Bookstore from which students may purchase textbooks and school supplies. Before the opening of each semester, the Textbook Manager will request information concerning anticipated needs from each faculty member. This information is used in ordering necessary textbooks for purchase by students. Careful and accurate estimates should be furnished to the Textbook Manager in order that he or she may avoid an overstock of books and supplies which become obsolete and result in financial loss to the University.

### **Textbook Policy**

Each professor will have the right to select textbooks for each course he or she teaches, subject to departmental policy and the following:

1. Reminders for textbook orders for the fall semester will be mailed and emailed to each department by March 28. Online adoptions should be completed in full and submitted to the textbook manager no later than April 18. Reminders for spring Semester will be both mailed and emailed by September 28. Adoptions are to be submitted to the textbook manager no later than October 18. Summer reminders will be mailed out and e-mailed by February 18. Adoptions are to be submitted to the textbook manager no later than March 18.
2. Introductory courses using a hardback textbook may be considered for the voluntary guaranteed buyback program mandated by General Administration in March 2007. Textbooks offered under this program shall be used in all sections. New textbook adoptions are for a minimum of three years, beginning in either the fall or spring semester. Within the three year term, it is expected that courses utilizing the adopted textbook will be offered a total of six times. For courses offered only in the fall or spring semester, it is expected that the textbook will be utilized a total of three times.
3. Textbooks selected will be retained for a minimum of one regular-term semester.
4. It is permissible to use different textbooks where multiple sections of the same course are taught.
5. Course materials are to be designated as either required or optional. Required course materials are those that are required for class instruction and considered essential to the student's success. Optional course materials are those that are recommended as extras but not required to successfully pass the class.
6. Orders will be placed by the bookstore 4-6 weeks prior to the semester beginning, subject to inventory and anticipated used texts purchased from students and wholesalers.

7. If a publisher notifies the Textbook Manager that a book is out of print, out of stock, or back-ordered, the faculty member will be notified immediately.
8. Unsold textbooks will be returned to the publisher for credit four weeks after the first day of classes during the fall and spring semesters. They will be returned to the publisher for credit two weeks after the first day of classes during the summer sessions.
9. Changes to textbook orders will not be allowed once the order has been placed with a publisher or textbook wholesaler. If a textbook was ordered by mistake and it is not suitable for the class, all freight charges incurred by the Bookstore will be charged to the ordering academic department. ALL CHANGES MUST BE APPROVED BY THE DEPARTMENTAL CHAIR
10. In the event a class in which a text is used is cancelled, the Department Chair will notify the Textbook Manager immediately.
11. All textbook needs must be adopted through the Bookstore.
12. Three types of buyback services are offered at the UNCP Bookstore during the fall and spring semesters: Daily, End-of Semester, and Online. Daily buyback services (wholesale) will start two weeks after classes have started and will end two weeks prior to the start of the End-of Semester buyback. End-of-Semester buyback services are offered for distance education students and can be accessed on the bookstore webpage year round. Limited buyback services are offered throughout the summer. Summer buyback dates are advertised throughout campus and on the bookstore webpage. More detailed information is available in the student handbook and on the Bookstore webpage ([www.uncp.edu/bookstore](http://www.uncp.edu/bookstore)).
13. The University will allow the operation of a non-funded student-run book exchange.
14. The Textbook Manager and Department Chair are encouraged to keep each other mutually informed concerning lead times and deadlines relating to book orders.

Regular semester operating hours are:

Monday - Thursday	7:45 a.m. - 8:00 p.m.
Friday	7:45 a.m. - 4:00 p.m.

(Summer school hours are posted)

To accommodate students, the Bookstore will offer extended hours at the beginning of each summer session.

### **Faculty Publications Policy**

The following policy, approved by the Chancellor, covers the sale of course packs written by faculty:

1. The use of faculty-written course packs or copyrighted course packs as required or recommended reading for students must be approved by the Departmental Chair. There is no prohibition against the use of a faculty member's published material in that faculty member's classes (with the collection of related royalties), provided that the textbook, CD, or other material- (1) has been produced and copyrighted by a recognized and independent academic or trade publisher (2) has been made available for open sale.
2. All course packs will be submitted to the UNCP Bookstore along with the appropriate paperwork. The forms filled out are dependent upon whether there are copyrighted materials within the course packs, or if it is solely the work of the instructor. The Textbook Manager will forward the materials to UNC Chapel Hill Course Pack Department. The materials are accurately checked for copyright clearance before printing. This process will protect the University from violating any copyright laws. Orders submitted for printed manuals are to be for the current or upcoming term only.
3. The Bookstore will print the quantity requested by the department. Any copies needed after classes begin will be printed on a rush basis, with the approval of the department chair.

4. Only course packs published by the UNC-CH Custom Publishing Department will be sold by the UNCP Bookstore. Professors requesting a royalty from course packs will receive a 20% commission on the number sold at the end of the term. Faculty course packs must consist entirely of their own composition in order to receive a royalty.
5. All unsold course packs not to be used again will be billed back to the appropriate department at Bookstore cost, unless other arrangements are previously agreed upon by both the departmental chair and the bookstore.

### **Desk Copy Policy**

The University Bookstore does not furnish desk copies of books to faculty. It is the responsibility of the faculty member to obtain his or her own desk copy from the publisher. The University Bookstore will assist faculty members who have not yet received a desk copy by charging it to their academic department. (This charge requires a requisition signed by the Department Chair.)

The Bookstore will accept identical replacement copies for credit or refund on the condition that the replacement copy must be totally salable and/or returnable to the publisher. This statement means that the book must be new, unmarked with a clean and undamaged cover with no stickers or indications that it is a desk copy.

### **Other Materials**

The Campus Bookstore can also arrange to offer other non-text materials that may be needed for a given course. Faculty members whose courses may call for such materials should consult the Bookstore about those needs.

### **Course Management**

#### **Class Attendance (Undergraduate)**

Regular class attendance is important to the educational experience of each student and to the academic integrity of the university curriculum. Students are expected to attend every class beginning with the first session. Regular class attendance is a student responsibility. A student is responsible for all the work, including tests and written work, of all class meetings. No right or privilege exists that permits a student to be absent from any given number of class meetings.

For all General Education classes, instructors will keep attendance records. If a student misses three consecutive class meetings, or misses more classes than the instructor deems advisable, the instructor will notify the Academic Support Center (administrator of the Early Alert program) for appropriate follow-up. Departments may also develop and distribute attendance policies and procedures to be followed for students who miss an excessive number of classes.

For all classes, instructors have the discretion to determine how the attendance policy will be implemented in their class, the circumstances under which make-up work may be allowed, and whether attendance will be used as a criterion in determining the final grade. Excessive absences may result in failure. Faculty will distribute a written statement of their attendance policy as a part of the course syllabus. When the University is officially closed, no student can be counted absent even if the instructor holds class. Any course related material will be made available in some form by the instructor.

Faculty teaching an online course should require completion of an assignment of the faculty's choosing (e.g. syllabus quiz, personal introduction, email to the instructor, discussion board post, etc.) that requires active student participation (beyond logging into the course management system) within the roster verification period.

### **Attendance Policy for University Sanctioned Events**

Attendance policies must adhere to POL 02.05.06 Attendance Policy for University Sanctioned Events which is as follows:

If a student is representing the University in an official capacity (e.g.: academic conference, student government, course field trips, ROTC events, athletics, band) and the Office of the Provost has approved the activity, in writing, as an official University-sanctioned event, that absence shall be excused. Students are responsible for all coursework missed and must make up the work within three university business days after the student returns to campus.

Such sanctioned events are important to building a rich and multi-faceted student experience, a core value of the University mission. Given that missing more than 15% of class time significantly compromises a student's ability to succeed in a course, any student who anticipates missing more than 15% should not enroll in a course without prior approval from the instructor.

It remains the responsibility of the student to communicate accurately and regularly with the professor or instructor about missed class due to any reason, including for University sanctioned events. Students shall provide official documentation of proposed University sanctioned events that will result in excused absences during the first week of each semester, unless such notice is impracticable (e.g. rescheduled events). Prior written documentation shall be provided for each excused absence, unless extenuating circumstances arise. Students and faculty may appeal the administration of any aspect of this policy directly to the Provost. The Provost's decision shall be final.

### **Religious Holiday Policy**

The University of North Carolina at Pembroke has a legal and moral obligation to accommodate all students who must be absent from classes or miss scheduled exams in order to observe religious holidays; we must be careful not to inhibit or penalize these students for exercising their rights to religious observance. To accommodate students' religious holidays, each student will be allowed two excused absences each semester with the following conditions:

1. Students, who submit written notification to their instructors within two weeks of the beginning of the semester, shall be excused from class or other scheduled academic activity to observe a religious holy day of their faith. Excused absences are limited to two class sessions (days) per semester.
2. Students shall be permitted a reasonable amount of time to make up tests or other work missed due to an excused absence for a religious observance.
3. Students should not be penalized due to absence from class or other scheduled academic activity because of religious observances.

A student who is to be excused from class for a religious observance is not required to provide a second-party certification of the reason for the absence. Furthermore, a student who believes that he or she has been unreasonably denied an education benefit due to religious beliefs or practices may seek redress through the student grievance procedure.

### **Orientation to Courses**

At the opening of each semester, faculty members should attempt to cover the following points in the syllabus during their initial contact with students:

1. State clearly the prerequisites of the course, if any, as well as the course's class standing (freshman, sophomore, etc.).
2. Discuss the objectives and values to be derived from the course.
3. State the complete requirements of the course, such as course name; textbook and other materials required; number and nature of reports to be recorded; outside reading; notebook requirements; and the types of tests to be used.

4. Discuss how the various requirements of the course are counted in determining the final grade.
5. Make sure that students are aware of and understand the Academic Honor Code and that they know where the Code is published (e.g., the Student Handbook).
6. The first meeting of each face-to-face class should consume the full time allotted by the schedule.

## **Exams, Grading, and Student Records**

### **Tests and Examinations**

Generally courses at the University include some number of tests across the semester and a terminal final examination. The content and format of tests is entirely the prerogative of the individual faculty member. However, in general, tests and examinations should be a fair representation of material from the course (typically, both lecture and textbook reading). Tests should be of sufficient length to insure that they are reasonably reliable indicators of students' knowledge and understanding of the material, while not so long that they cannot be completed by an average student within the time limits of the testing period.

Final examinations are to be given in all courses at the time designated on the final examination schedule. Any deviation from this policy must be presented in writing, including rationale, to the Department Chair and appropriate Dean at least three weeks prior to the final examination period. It is encouraged that where appropriate final examinations be comprehensive in nature and weighted accordingly.

Because the final exam week is counted as instructional time, as a matter of policy within the University of North Carolina system, faculty members are required to meet their classes during the scheduled final examination period (i.e., exam week). It is the responsibility of each department chair to insure compliance with this policy.

Generally, five days are devoted to the examination period during the regular semesters and one day during the summer session terms. Although tests are not required at specific times during the semester, some measure of a student's progress should be made before the middle of the semester.

### **Reporting Grades**

Faculty members are responsible for reporting grades in a timely fashion. Midterm and final grades are officially reported using BraveWeb. The Office of the Registrar issues BraveWeb accounts to each faculty member in person. Reporting of grades using BraveWeb is allowed at designated times as instructed by the Registrar. Faculty may enter grades and change grades during the allotted time. Once the deadline has been reached, all changes to any grades are done in person in the Office of the Registrar.

### **Midterm Grades**

Faculty members submit advisory midterm grades for each undergraduate course by the close of business two Mondays prior to the deadline for student withdrawals from fall and spring courses. Midterm grades are not assigned for graduate courses. Grades are reported to students and are interim reports intended to inform students about their progress in undergraduate courses to date.

### **End of Term Grades**

Course grades follow the categories described in the University Catalog. Note especially the policies affecting grades of I (incomplete). When an Incomplete grade is given, the faculty member and student must fill out and sign a Contract for the Completion of Incomplete "I" Grade and file it with his/her Department Chair, Dean and the Registrar. Faculty members are responsible for establishing and maintaining an equitable grading scheme for each of their classes. Faculty members should describe clearly in the course syllabus how grades are to be determined, including what tests, examinations, and

other assignments will count toward the final course grade and how each component of the final course grade will be weighted.

### **Grade Changes**

For incomplete (I) grades, the professor is required to complete the change of grade form. For all other grade changes, the professor is required to complete the change of grade form and obtain signatures from the Department chairperson and Dean. The Registrar, Dean and Department Chair must approve any exceptions to this policy.

With the exception of an incomplete, no grade may be changed after it has been officially reported to the Registrar's Office except upon the recommendation of the Department Chair and approval of the appropriate Dean. The instructor must submit satisfactory proof of error in calculation or recording to the Department Chair. Normally, no grade may be changed after one semester has elapsed. The Grade Change Form may be obtained from the Registrar's Office. The instructor must make the change in person in the Office of the Registrar.

### **Grade Appeal Process**

Undergraduate students may appeal a final course grade. The student must initiate the appeal process within thirty calendar days after the first day of class of the regular semester following the award of the grade. Information on the Grade Appeal Process is available at the website for the Student Handbook at <http://studentaffairs.uncp.edu/flips/StudentHandbook/>. In general, it would be wise to retain any student papers not returned to students for at least one semester following the end of a course, in the event that a grade is appealed. For the graduate grade appeal process, consult the Graduate Student Handbook at the website for that publication at <http://www.uncp.edu/academics/colleges-schools-departments/colleges-schools/graduate-studies-and-research/graduate-studies/graduate-student-handbook>.

### **Privacy of Student Academic Information (FERPA)**

The University of North Carolina at Pembroke complies with all provisions of the Family Educational Rights and Privacy Act of 1974. The full statement of the University's policy is available in the Office of the Registrar located in Lumbee Hall. With some exceptions, students have the right to inspect and to challenge the contents of their education records. Access to academic records is coordinated through the Registrar's Office. Students wishing to inspect their records should contact the Registrar in Lumbee Hall between the hours of 8:00 a.m. and 5:00 p.m. Monday - Friday, while the University is in session.

The University routinely releases to the public so-called Directory Information, as follows: the student's name, address, electronic mail address, major field of study, participation in officially recognized activities and sports, weight and height of athletic teams, dates of attendance, degrees and awards received, and previous educational agency or institution attended by the student. Any student who wishes to have the above Directory Information withheld must complete and sign a request in the Registrar's Office. This request remains in effect the duration of the student's study at the University.

Certain personally identifiable information about students ("education records") may be maintained at The University of North Carolina General Administration, which serves the Board of Governors of the University system. This student information may be the same as, or derivative of, information maintained by a constituent institution of the University; or it may be additional information.

Whatever their origins, education records maintained at General Administration are subject to the Federal Family Educational Rights and Privacy Act of 1974 (FERPA). FERPA provides that a student may inspect his or her education records. If the student finds the records to be inaccurate, misleading, or otherwise in violation of the student's privacy rights, the student may request amendment to the record.

FERPA also provides that a student's personally identifiable information may not be released to someone else unless (1) the student has given a proper consent for disclosure or (2) provisions of FERPA or federal regulations issued pursuant to FERPA permit the information to be released without the student's consent. A student may file with the U.S. Department of Education a complaint concerning failure of General Administration or an institution to comply with FERPA.

Faculty members who have any questions about records, documents, or procedures that may be covered under FERPA should contact the University Registrar for clarification.

### **Responsibilities with Students**

#### **Office Hours**

In addition to teaching, each member of the faculty must maintain a minimum of five office hours a week in order to be available for academic advisement and to meet students for consultation. It is strongly recommended that the advisor be in the office at least one hour each day. The office hour schedule is to be posted on the faculty member's office door so that students may make arrangements for conferences. Each Department Chair is to have a complete class and office hour schedule for each faculty member of the department. Faculty members must be in their offices and available to students during advisement week, registration (except when assigned to registration duties elsewhere), and the drop-add period.

#### **Academic Advisement**

Academic advisement is a campus-wide responsibility shared by both faculty and the staff of the Advising Center. Other departments on campus support the advisors by providing information, resources, opportunities and informal advising. Advising is assisting students in setting academic and professional goals and working with them to plan a suitable academic program based on those goals. Advisors assist students in interpreting the academic regulations of the University and direct them to the appropriate offices to ensure that the interpretation is correct. The Advising Center advises undeclared students. Academic departments are responsible for advising students once they have declared a major.

Academic advisement at The University of North Carolina at Pembroke is also a continuing process that, it is hoped, accomplishes five goals:

1. Exploration of the student's life goals;
2. Exploration of student's educational/career goals;
3. Selection of an educational program;
4. Selection of academic courses;
5. Assessment of the student's academic progress and making appropriate referrals when needed.

Please note: The advisor's role is to assist each advisee in planning a suitable academic program. However, students are responsible for following all applicable academic regulations and registering for their courses.

Activities of advising should include:

- Informing and reminding students of their responsibilities in the advising process, including meeting graduation requirements and registering for appropriate courses.
- Helping students understand the current academic policies, rules and procedures of UNCP and referring them to the appropriate office or resource for clarification if necessary.
- Knowing the range of academic and other services for students and the process by which to refer students to them.
- Discussing students' academic performance and implications for progress to graduation.
- Being knowledgeable about the programs and standards for which he/she advises
- Giving advice each semester about course selection including prerequisite requirements, departmental course rotations and course loads prior to providing the PIN to register.

- Posting and maintaining office hours with additional assistance during pre-registration periods.

Other activities that can be done based on student needs include:

- Getting to know student goals and objectives.
- Understanding student concerns that affect academic performance (job, family responsibilities, etc.).
- Empowering students to advocate for themselves.
- Assisting students in creating plans of study.
- Participating in advisor development, such as completing online training modules, attending development workshops, and staying current on university policies through catalog review and email updates.
- Utilizing experience and perspective in the discipline to offer insight to advisees.
- Acting as a source for letters of recommendation.
- Knowing how to refer for internship and career opportunities related to the major.
- Assisting in advising at New Student Orientation sessions according to departmental needs and availability.

Freshmen are advised by the Advising Center during Freshman Orientation. As soon as a student decides on a major, the student should take a Declaration of Major Form to the Department Chair of the chosen major. The Chair will assign a faculty member in the student's major as the new advisor. The student obtains the signature of the new advisor and submits the form to the Office of the Registrar in Lumbee Hall.

Transfer students are assigned to the Chair of the major department at the time of transfer to UNCP. The Chair of the department may delegate the responsibility of advising individual students to any faculty member of the department, but the basic responsibility for an effective advisement program remains with the Chair. Academic advisors will make every attempt to give effective guidance to students in academic matters and to refer students to those qualified to help them in other matters; but the final responsibility for meeting all academic requirements for a selected program rests with the student.

### **Registration Procedures and Policies**

Each student must complete registration online. No student is officially registered until he/she has completed registration as outlined below. Students who fail to complete registration as prescribed will have their names dropped from all class rolls. If these students subsequently request to register, they must follow registration procedures just as if they had not started registration before.

The University has a two-phase registration system: the early registration phase and the regular registration phase. Students currently enrolled at the University of North Carolina at Pembroke may complete their registration by: (1) consulting with their advisor during the designated early registration period, (2) obtaining the PIN number from the advisor and preparing their class schedule for the next semester, (3) registering for the approved course work online, and (4) paying tuition and fees to the Cashier's Office. Students entering UNCP for the first time or returning after an absence of one semester or more may complete their registration by following the same process beginning in the designated registration period.

The University has a two-phase registration system: pre-registration, the early registration phase, and the open registration phase. Students currently enrolled at the University of North Carolina at Pembroke may complete their registration during the pre-registration period by: (1) consulting with their advisor, (2) obtaining the PIN from the advisor and preparing their class schedule for the next semester, (3) registering for the approved course work online, and (4) paying tuition and fees to the Cashier's Office. Students returning after an absence of one semester may complete their registration by following the same

process beginning in the early registration period. Readmitted students and all others may complete their registration by following the same process beginning in the open registration period. New freshmen and new on-campus transfer students will register at New Student Orientation.

The advisor's role is to assist the student in planning a suitable academic program. Questions about using the Web based registration system should be directed to the Registrar's Office. The student is responsible for following all applicable academic regulations. This includes general education requirements, prerequisites, and major/minor requirements. Students are individually responsible for all course registrations and for completing the requirements for graduation. The Office of the Registrar will drop students who register for courses without following departmental or University regulations. Each student must register online prior to the first day of class. After classes begin, each student must register in person in the Office of the Registrar.

### **Adding, Dropping, and Withdrawing from Courses**

#### **Undergraduate Procedures**

After a student has completed registration the only way the student's schedule can be changed is through the drop-add procedure. During the Drop-Add period, students may adjust their schedules online through BraveWeb. After the drop-add period, to add a course a student must obtain a Drop-Add Form from an academic department, complete the form, have it approved by his or her advisor, obtain the signature of the gaining professor, and present the form Registrar. To drop a course a student must obtain a Drop-Add Form from an academic department, complete the form, have it approved by his or her advisor, and present the form to the Cashier's Office and the Office of the Registrar.

A student may withdraw from a course after the drop-add period but prior to and including the last day of the first week of classes after midterm grades are reported, with a grade of W, if the student obtains the signature of her or his advisor.

Withdrawal without penalty from a course or courses after the deadline for withdrawal but before the last two weeks of classes in the semester, may be approved only for appropriate cause such as serious illness. Appropriate documentation is required. Unsatisfactory academic performance does not by itself constitute sufficient reason to grant a late withdrawal.

The student should secure a course withdrawal form from the Registrar's office, obtain the instructor's signature and the advisor's signature, and return the form to the Academic Affairs Office for review. Approved requests receive W in the course. A copy of the completed form and any required documentation must be on file with the Academic Affairs Office before a late course withdrawal will be considered. A second copy of the completed withdrawal form will be forwarded to the Registrar's Office for entry of the assigned grade.

#### **Graduate Withdrawals**

Graduate students who wish to withdraw from a graduate course follow similar procedures, but with different deadlines. A graduate student may withdraw from a course up to two weeks before the final class meeting of the course. Forms for such withdrawals are available in the Graduate Studies Office, must be signed by the course instructor, and are to be returned to the Graduate Studies Office. Consult the UNCP Catalog for details of the procedure.

#### **Accommodations for Students with Disabilities**

The Accessibility Resource Center (ARC) provides, arranges, and coordinates accommodations for students in courses, programs, services, activities, and facilities. The Accessibility Resource Center is the designated office that obtains and files disability related documents, certifies eligibility for services,

determines reasonable accommodations, and develops plans for the provision of such accommodations for students with disabilities.

Complete information about the regulations and guidelines for accommodating students with disabilities; about services, materials, and equipment available; and about access to ARC capabilities is available from the ARC in the D. F. Lowry Building and via the ARC web page (<http://www.uncp.edu/arc/>).

### **Classroom Emergencies Procedure**

In case of an emergency on campus, campus police are to be notified at (910) 521-6235. Campus police will respond to all emergencies on campus.

**CAMPUS POLICE 521-6235**

### **Improper Supervisory Relationships**

Because of the risk of possible abuse, as a matter of policy, the University of North Carolina system prohibits supervisory relationships between individuals who have a close personal relationship. Such relationships include those between family members or persons in a romantic relationship. Supervision includes both job supervision and student supervision in classroom or other situations. Faculty members should become familiar with this policy. The full statement of the policy on Improper Relationships between Students and Employees is available in *The Code of the Board of Governors of the University of North Carolina*, Section 300.4.1 at the website for the UNC General Administration at <http://www.northcarolina.edu/policy/index.php>.

### **Student Disciplinary Matters**

#### **Academic Honor Code**

The Academic Honor Code serves to maintain academic honesty and integrity within the University. Regulations at this institution are in effect as soon as the student arrives at UNCP and continue while he/she is on campus. Every student should be familiar with the rules and regulations of this University found in the Student Handbook. Personal honor is the basis of the Academic Honor Code, and it is up to each student to realize and accept this premise if it is to work. Every student who is aware of a violation of the Academic Honor Code should report it to the Vice Chancellor for Student Affairs. The full text of the Academic Honor Code is available at the website for the Office of Student Conduct at <http://www.uncp.edu/student-life/student-services/student-conduct/academic-honor-code>.

Examples of violations of the Academic Honor Code are as follows:

- A. Cheating. Cheating means the use of or attempted use of unauthorized materials and methods (notes, books, electronic information, submission of work composed by another entity, telephonic or other forms of communication, or other sources or methods) in any academic exercise, whether graded or otherwise. This definition includes both giving unauthorized information (in either oral or written form) and receiving such information during any academic exercise, whether graded or otherwise
- B. Plagiarism. Plagiarism is defined as the representation of another's words, thoughts, creative works, images or ideas as one's own without proper attribution in connection with submission of academic work, whether graded or otherwise.
- C. Fabrication and falsification. Fabrication and falsification is defined as the alteration, invention or citation of any information or material in any academic exercise, whether graded or otherwise. Falsification is a matter of altering information or material, while fabrication is

- a matter of inventing or counterfeiting information or material for use in any academic exercise, whether graded or otherwise.
- D. Abuse of Academic Materials is defined as the destruction, defacement, stealing, altering, or making inaccessible library or other academic material.
  - E. Complicity means knowingly helping or attempting to help another person to commit any act of academic dishonesty. For example, complicity would include allowing another student to look at test answers or to copy a paper. Simply stated, don't help someone else be dishonest.

### **Student Discipline**

All faculty members should feel a sense of responsibility to report any type of behavior, whenever it may occur, which may reflect unfavorably upon the University community. Whenever possible, names of students involved and a descriptive account of the behavior in question should be reported. Typical examples of such behavior might be obscenity, vulgarity, and vandalism. Such reports should be made to the Associate Vice Chancellor for Student Affairs.

At times it may be appropriate for an instructor to refer problems of personal conduct in his/her class to other agencies. Such conduct as, for example, cheating, stealing, and unusual boisterousness may appropriately be referred to the Vice Chancellor for Student Affairs for study and action.

Addressing disruptive behavior in the classroom is left to the discretion of the individual faculty member. However, it is suggested that the faculty member make clear to the class in the syllabus or at an early class meeting that any behaviors that disrupt the teaching and/or educational process will not be tolerated. If a student displays such behavior, the faculty member should deal with it early and directly by speaking to the student. If it continues to be a problem the faculty member may ask the student to leave the classroom and should report the student to the Vice Chancellor for Student Affairs.

Written documentation should be kept for each instance, including how it was addressed. At the faculty member's request and with appropriate documentation, the Office for Academic Affairs will administratively withdraw the student from class(es) as a result of repeated disruptions to the academic process.

### **Student Disciplinary Procedures**

Student disciplinary actions are the responsibility of the Office for Student Affairs. The UNCP Student Handbook, available on request from the Office for Student Affairs, contains a complete description of the student judicial system and its procedures; faculty members should become familiar with those procedures. Very briefly, student misconduct can be adjudicated administratively by the Dean of Students or in a hearing before the Campus Judicial Board. Students whose cases are heard by the Campus Judicial Board have the right to appeal that Board's decision to the Campus Appeals Board, and ultimately to the Chancellor. See the website for the Student Handbook at <http://studentaffairs.uncp.edu/flips/StudentHandbook/>.

### **Code of Conduct**

Any student whose conduct on or off campus becomes unsatisfactory and is determined to have a detrimental impact on the mission of the University will be subject to appropriate judicial action. No student will be permitted to graduate or officially withdraw from the University while disciplinary action is pending against him or her.

According to the By-Laws of the Board of Trustees of The University of North Carolina at Pembroke, ratified in March of 1968, the administration of the University is responsible for all phases of student discipline. The administration holds that a student enrolling in the University assumes an obligation to conduct himself/herself in a manner compatible with the University's function as an educational

institution. Further, the Board of Trustees has directed the administration to take appropriate disciplinary action against students and student organizations that are found to be in violation of the University's Code of Conduct. A UNCP student shall refrain from the prohibited behaviors that reflect conduct unbecoming of a student at The University of North Carolina at Pembroke. The full text of the Code of Conduct is available at the website of the Office of Student Conduct at <http://www.uncp.edu/about-uncp/administration/policies-and-regulations/all-regulations/reg-113001-student-code-conduct-regulation>.

### **University Judicial System**

Subject to any policies or regulations of the Board of Governors or of the Board of Trustees, it is the duty of the Chancellor to exercise full authority in the regulation of student affairs and in matters of student discipline in the institution. In the discharge of this duty, the Chancellor may delegate such authority to faculty committees and to administrative or other officers of the institution or to agencies of student government in such a manner and to such extent as the Chancellor may deem necessary and expedient. In the discharge of the Chancellor's duty with respect to the matters of student discipline, it is the duty of the Chancellor to secure to every student the right of due process and fair hearing, the presumption of innocence until found guilty, the right to know the evidence and to face witnesses testifying against the student, and the right to such advice and assistance in the individual's defense as may be allowable under the regulations of the University approved by the Chancellor. In those instances where the denial of any of these rights is alleged, it is the duty of the President of the University of North Carolina to review the proceedings.

Every student is bound by the Honor Code, the laws of the Student Body enacted in accordance with the Student Government Association Constitution, and the University Code of Conduct. The Honor Code prohibits academic dishonesty. Offenses against the Student Body are stealing, passing bad checks (Student Check Cashing Service), and such other offenses as the Student Senate law may define. The University Code of Conduct is found in the Student Handbook, and the University Catalog. All adjudicatory power of the Student Body is vested in a system of hearing boards with recognition that ultimate responsibility must conform to the By-Laws of the University as established by the Board of Trustees. For information on the University judicial system, see the web site for the Office of Student Conduct at <http://studentaffairs.uncp.edu/about/policies-and-regulations-2/>.

### **Student Rights and Responsibilities**

Students who apply for admission to the University of North Carolina at Pembroke and are subsequently admitted are not enrolled as a legal or constitutional right. Authority to determine academic admission standards is delegated to the Board of Trustees and the Chancellor. When a student is admitted to UNCP, he or she accepts the rules, regulations, and procedures that apply to the campus. Students attend UNCP as a voluntary act and accept substantial benefits that the State of North Carolina provides. In taking such action, and accepting the benefits that accrue, students must accept the rules and regulations that have been developed pursuant to law.

Upon enrollment, a student receives no sanctuary from obedience to law. A student is not entitled to greater immunities or privileges before the law than those enjoyed by other citizens generally. In addition to the federal, state, and local laws that pertain to all citizens, a student must accept the institutional rules and regulations necessary to accomplish the purposes for which the institution was established. The student does not, however, lose constitutional or legal rights by an act of voluntary enrollment. The Code of the University of North Carolina specifically refers to the important right of a fair hearing and due process. Federal and state statutes and court cases have established certain student rights which are not to be infringed upon, except in situations which are themselves outlined in law and court procedures.

Among these are:

1. No student may be denied access to university facilities or programs on the basis of sex, race, religion, or national origin.

2. No student may be denied the protection of the First Amendment of the Constitution of the United States and Article I of the Constitution of the State of North Carolina, which refer to freedom of speech, freedom of religion, freedom of the press, and freedom to assemble peacefully.
3. No student may be denied the continuance of his/her education for disciplinary reasons without being afforded the right to due process.

UNCP recognizes these additional rights:

1. The right to read and study free from undue interference in one's room. (Unreasonable noise and other distractions inhibit the exercise of this right.)
2. The right to sleep, the right to one's personal belongings, the right to free access to one's room and suite facilities during the period that the residence halls are open, the right to a clean environment in which to live. (Optimum physical conditions are essential, as they support, reinforce, and provide positive conditions in which to learn and live.)
3. The right to redress of grievances. If the academic and residence hall communities are to function in the most educationally profitable manner, the right to initiate actions and referrals for impartial and fair adjudication of grievances is held paramount. In exercising this right, the student further holds the right to be free from fear or intimidation, physical and/or emotional harm, and without imposition of sanctions apart from the due process.
4. The right to personal privacy. All persons should have freedom from interference with their personal activities and should be able to maintain privacy for other than academic reasons.
5. The right to host guests. All students should have the opportunity to maintain personal contacts and friendships with other persons to fulfill their needs for socialization. Guests are to respect the above stated rights of the host's roommates and of other residents.

### **Student Grievance Process**

Students may utilize a grievance process established to resolve issues they believe somehow violate their rights. This Grievance Process for Students applies to all problems arising in interactions between a student and a member of the University community that are not governed by other specific grievance proceedings. More information on the student grievance process may be found in Section V of the Student Handbook at <http://studentaffairs.uncp.edu/flips/StudentHandbook/>.

### **Campus Citizenship**

Faculty members are expected to be in attendance at all regular faculty meetings and other announced university programs. A member who finds it necessary to be absent from a faculty meeting should so indicate to the Provost and Vice Chancellor for Academic Affairs prior to the time of the meeting (see Article I, Section 3 of the Faculty Constitution). Typically, the General Faculty convenes at the beginning of each academic year and at the end of each regular semester of the year. At those latter times, the candidates for degrees are presented for approval by the faculty. These meetings are also an opportunity to hear reports on issues and events of interest to the faculty.

All meetings of all faculty governance bodies (e.g., subcommittees, committees, and the Faculty Senate) are open to any interested faculty member. As a rule, agendas of such bodies are published to the faculty (typically, by e-mail or on the relevant website). Faculty members who may have views about agenda items for a given governance body are encouraged to attend and express those views.

Commencement exercises are held twice a year, at the close of the fall and spring semesters. Faculty are expected to participate in the Commencement Program in academic regalia. Written requests to be absent should be submitted to the Chancellor. As a rule, the University schedules an Opening Convocation near the beginning of the fall term each year. Faculty members are expected to attend, in academic regalia.

### **Southern Association of Colleges and Schools (SACS) Required Notification for Substantive Change**

The University is required to ensure that the Southern Association of Colleges and Schools (SACS) is notified of any proposed programs and/or major changes to current programs. Any department considering significant program additions or modifications should discuss the necessary notification requirements with the SACS Liaison (Senior Associate Vice Chancellor for Academic Affairs). Depending on the scope of the program and/or modification, SACS requires between 3 and 6 months notification before implementing/offering the program/courses. The following are SACS guidelines for a Substantive Change as quoted from the SACS website at [www.sacs.org](http://www.sacs.org).

Some changes, such as offering courses on-line that amount to less than 25% of the coursework needed to complete a degree, certificate or diploma, do not need to be reported to the Commission. Others, for example offering from 25% to 49% of the coursework required for a program online, simply require that the Commission be notified in advance of the implementation of the change. Larger scale changes, such as adding significantly different programs to the academic curriculum or offering a majority of the coursework needed to complete a degree, certificate or diploma online, require written notification at least 6 months in advance and approval of a prospectus, which must be submitted at least 3 months prior to the anticipated implementation date.

Institutions seeking to offer coursework at a more advanced level than that for which they are currently approved must notify the Commission of their intent at least 12 months in advance and submit an application for level change at least 9 months before the expected start of the proposed programs. Certain types of substantive changes, for example adding branch campuses, level changes, mergers/consolidations, and changes in governance require a visit by a substantive change committee to determine continued compliance with the Commission's *Principles of Accreditation*.

**UNCP FACULTY HANDBOOK**  
**SECTION IV**

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**INFORMATION FOR FACULTY**

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**SECTION IV  
CHAPTER 1  
SALARY AND EMPLOYEE BENEFITS**

**Salary and Payroll**

Salary checks are deposited on the last official State workday of each month with the exception of December, in which they may be issued earlier at the discretion of the Governor. Nine-month faculty being paid for the first time by UNCP will receive payment for July through the month in which the check is issued. For example: If the first check issued by UNCP is at the end of September, the check will be for 3/12 (July, August, and September) of the contracted salary.

**Withholding Tax**

Federal and State income tax is withheld on the basis of information furnished the Payroll Office on US Treasury Department Form W-4 and NC Department of Revenue Form NC-4. It is the responsibility of the employee to submit revised forms if the employee changes the number of withholding exemptions due to death, birth, or other reasons. By February of each year, each employee will receive U. S. Treasury Department Form W-2 and N C Department of Revenue Form NC-2 for income tax withheld for the previous calendar year.

**Social Security**

A deduction of 7.65 per cent is made on all earnings in a calendar year up to \$118,500. After an employee reaches the ceiling of \$118,500, there will still be a deduction of 1.45 per cent. This amount is subject to change according to Federal legislation.

Additional information on any of the programs highlighted above may be obtained from the Office of Human Resources in Lumbee Hall, Room 347, extension 6279 or the Payroll Office, Lumbee Hall, Room 151, extension 6284.

**Retirement**

All permanent, full-time employees of the University must participate in the North Carolina Teacher and State Employees Retirement System or one of the four programs under the Optional Retirement Plan provided by the State of North Carolina. Once the employee has made a choice, it is irrevocable. Employee contributions are the same under all programs: 6 % of the employee's gross salary. For more information on retirement plans, see the website for the Office of Human Resources at <http://www.uncp.edu/about-uncp/administration/departments/human-resources/benefits>.

**Employee Benefits**

**Group Hospitalization**

A state-wide program of health and medical benefits for faculty and staff is available to all full-time and part-time employees who work 30 hours or more per week. Health and medical benefits are available to part-time employees who work 20 hours or more per week on a contributory basis. The employee assumes the total cost of dependent coverage. For more information on the State Health Plan, see the website for the Plan at <http://statehealthplan.state.nc.us/>.

**Group Life**

The State Retirement System (TSERS) offers a death benefit of \$25,000 minimum to \$50,000 maximum. The Optional Retirement Plan (ORP) does not offer a death benefit. Supplemental insurances are available through four companies which include Colonial Life & Accident Insurance Company, AFLAC (American Family Life Assurance Company), Jefferson Pilot Life Insurance Company, and State Employees' Association of NC (SEANC). In addition to group term life insurance, these companies offer supplemental disability, cancer, accident/sickness and other various products. For more information on

Supplemental Insurance Plans, see the website for the Office of Human Resources at <http://www.uncp.edu/about-uncp/administration/departments/human-resources/benefits>.

### **NCFlex**

NCFlex is a program of pre-tax benefits available to all University employees working 20 or more hours per week in a permanent, probationary, or time-limited position. NCFlex offers eight benefit plans:

1. Health Care Flexible Spending Account,
2. Dependent Day Care Flexible Spending Account,
3. Vision Care Plan,
4. Voluntary Accidental Death and Dismemberment,
5. Core Accidental Death and Dismemberment,
6. Critical Illness Insurance,
7. Dental and
8. Group Term Life Insurance.

For more information on NCFlex, see the website for the Office of State Personnel at <https://oshr.nc.gov/state-employee-resources/benefits/ncflex>.

### **North Carolina State Employees' Credit Union**

A payroll deduction is available to eligible employees and members of the North Carolina State Employees Credit Union to be used for credit to savings and/or loan accounts. An ATM is located in the parking area near the rear of the Chavis University Center. Anyone wishing to participate in the Credit Union may do so by contacting a local State Employee Credit Union office or the Human Resources Office. For more information on the North Carolina state Employees' Credit Union, see the website for that organization at <https://www.ncsecu.org/>.

### **Long Term Disability Plan for Optional Retirement Plans**

This plan is available to faculty members who are enrolled in an Optional Retirement Plan. The employee pays for the coverage. More information on the UNC Long Term Disability Plan is available on the website for the University of North Carolina at <http://www.northcarolina.edu/hr/ga/benefits/financial/disability/LongTermORP.htm>.

### **Disability Income Plan of North Carolina**

The Disability Plan provides both Short Term Disability and Long Term Disability coverage to all employees who participate in the Teachers' and State Employees' Retirement System or the Optional Retirement Program. Short term benefits are paid at 50% of annual salary after one (1) year of contributing service. Long term benefits are paid at 65% of annual salary after five (5) years of contributing service. Upon approval of Long Term Disability benefits, an employee must resign from the current position before receiving benefits. For more information on disability plans, see the website for the Office of Human Resources at <http://www.uncp.edu/about-uncp/administration/departments/human-resources/benefits/disability>.

### **Tax-Sheltered Annuity Plans**

The University offers tax-sheltered annuity plans under Section 403(b) of the IRS Code to eligible employees. Plans are currently offered by TIAA-CREF and Fidelity. Deferred Compensation of NC also offers a tax-sheltered savings plan under IRS Section 457. The NC Deferred Compensation 457 Plan and NC 401(k) Plan administered by Prudential offers a tax-deferred investment program. For more information on tax-sheltered annuities, see the website for the Office of Human Resources at <http://www.uncp.edu/about-uncp/administration/departments/human-resources/benefits/tax-sheltered-annuities>.

### **Personal Liability Insurance Protection**

All full-time employees of The University of North Carolina and its constituent institutions are insured under a policy of personal liability insurance designed to pay specified types of judgments which might be rendered against them as a consequence of conduct undertaken within the course and scope of their employment. See Administrative Memorandum #96, February 7, 1978 at the website for the University of North Carolina at <http://www.northcarolina.edu/policy/index.php>.

### **Tuition Waiver Privileges for Faculty**

As adopted by the University Board of Governors, full-time faculty who are eligible for membership in a State-supported retirement plan will be allowed tuition waiver for one course per regular school term for classes attended outside of the required work hours. The following conditions must be satisfied in order to be eligible for tuition waiver:

1. Employees with temporary and/or part-time appointments are not eligible.
2. Tuition waiver shall apply only during the period of one's normal employment at UNC Pembroke.
3. Only those who have met admission requirements may be granted tuition waiver.
4. Tuition waiver is for tuition and required fees only.
5. Tuition waiver cannot be granted for courses where no college credit is allowed.
6. Tuition waiver will be allowed only for courses that occur outside of scheduled work hours.

For more information on the Tuition Waiver, see the website for the Office of Business Affairs at <http://www.uncp.edu/about-uncp/administration/departments/finance-and-administration/policies-and-procedures/human-resources/tuition-waiveremployee-educational-optionsrules>.

### **Workers' Compensation**

The North Carolina Workers' Compensation Act covers all employees of The University of North Carolina at Pembroke and is administered through the North Carolina Industrial Commission and the States Third Party Administration. If an employee suffers an injury on the job during the course of employment, it should be reported immediately to the supervisor, the Office of Human Resources, and the University Safety Officer. Necessary forms can be obtained from the Office of Human Resources or downloaded from <http://www.uncp.edu/about-uncp/administration/departments/human-resources/forms>. The "Employee's Statement" form must be completed by the employee and submitted to the supervisor. The supervisor then must complete form 19 and the "Supervisor's Accident Report". The completed forms are then submitted to the Human Resources Office so that a claim can be filed on the employee's behalf with the Third Party Administrator. If the injury lasts more than 21 days, then the employee will receive 66 2/3 % of their salary through workers' compensation. More information on Workers' compensation can be found at the website of the North Carolina Office of State Personnel at <http://www.osp.state.nc.us/Guide/emprsk/workcomp.htm>.

### **Insurance for Study Abroad Programs**

Insurance coverage is available (and in some instances, required) for all registered students taking credit hours and/or graduate students who are temporarily engaged in educational activities while outside the US. This coverage is also available for faculty and staff representing the University while engaged in University activities outside the US. For more information, contact the Office of International Programs at extension 4095 or see the website for that office at <http://www.uncp.edu/student-services/international/international-programs/policies/international-student-health-insurance-regulation>.

**Service Awards**

The Office of State Personnel has developed a Service Awards Program for all full-time State employees. The purpose of this program is to recognize the continued and dedicated service of career State employees. On the anniversary of the employee's 10th, 20th, and 30th year of employment with the State of North Carolina, he/she will be presented with their choice of a gift or a Certificate of Service. The awards program includes both faculty and staff. Employees who have had prior service with the State of North Carolina should notify the Office of Human Resources. Contact the Office of Human Resources at extension 6279 for more information.

**SECTION IV  
CHAPTER 2  
SERVICES AND FACILITIES FOR FACULTY**

**Services for Faculty**

**University Parking Permit**

It is the responsibility of each faculty member to register his/her motor vehicle with the UNCP Traffic Office. Parking permits are valid from September 1 to August 31 of the following year. Permits are not sold at a pro-rated cost; they are sold at the full listed price. Permit costs vary by employment category and semester parking demand. The campus parking map details which lots are available for faculty/staff parking. Reserved Parking is also available in faculty/staff parking areas throughout the university. These reserved spaces can be purchased on a yearly basis per the dates listed above.

The parking permit cost may be deducted from your paycheck on a pre-tax basis for the full listed price in monthly installments. The full permit cost must be paid in full by June 30 of the current fiscal year. **The payroll deduction form can be picked up and completed in the Traffic Office to begin or stop the payroll deduction process.**

More information on parking and traffic control regulations are available by phone at 910-521-6795 or can be found at the UNCP Police and Public Safety website at <http://studentaffairs.uncp.edu/police-public-safety/parking-and-traffic/>.

**Telephone and Fax Service**

Telephone services are provided through The Division of Information Technology. For assistance with your telephone service contact the Help Desk at 910.521.6260 or [helpdesk@uncp.edu](mailto:helpdesk@uncp.edu). For more information on telephone services at UNC Pembroke, see the website for the Division of Information Technology at <http://www.uncp.edu/student-services/information-technology/telephone-services>.

Fax service is offered to all faculty, students, and staff. Most departments now have their own Fax machines. The Library provides a cash Fax service for personal use by individuals. Use of all other campus Fax machines is limited to official University business. For more information on the use of University Fax services, see the website for the Library at <http://www.uncp.edu/academics/library/departments/access-services>.

**Mail Service**

The UNCP Mail Center is located in the Auxiliary Services Building. The office offers stamps, envelopes, USPS, UPS, Federal Express, and Airborne mailing services. Intra-department mail is picked up and delivered twice daily. In addition to regular postal service, the UNCP Mail Center provides other services to students, staff, and faculty for a nominal fee. These additional services include: certified mail; insured mail; registered mail; express mail; and a Fax service. For more information on campus mail services, see the website for the UNCP mail Center at <http://www.uncp.edu/about-uncp/administration/departments/business-services/mail-center>.

**State Courier Service**

UNCP is served by the State Courier Service for all state agencies located in Raleigh and other agencies throughout the State. Contact the UNCP Mail Center at extension 6203 for more information on courier mail.

**Computer Resources and Services**

The Office of the Division of Information Technology (DoIT) reports to the Associate Vice Chancellor for Information Resources and Chief Information Officer. The primary function of the Office is to provide

support for computing, telecommunications, teaching technologies, and media technologies; to build and sustain the technical infrastructure; and to address security and compliance policies, laws and concerns related to University data. The main office for DoIT is located in Carter Hall. The DoIT Helpdesk is located in D.F. Lowry, Room 110, the Interactive Video Facility is located in Room 125 of the Business Administration Building and instructional support and training is located in Jacobs Suite C.

DoIT services include administrative and academic computing support as well as responsibility for the campus data and video network; telecommunications; computer and software training; the campus Interactive Video facility; University web site support; installation, service and repair of microcomputers; printers and peripherals; and processing of enterprise software. DoIT also assists in the development and implementation of individual, group and institutional research projects. Test scoring capabilities, laptop and projector checkout and other capabilities are available to the faculty to facilitate their classroom instruction and professional development activities. For more information on the Division of Information Technology, see the website for that division at <http://www.uncp.edu/student-services/information-technology>.

### **The Mary Livermore Library**

The Library is a cultural, educational, and informational resource for The University of North Carolina at Pembroke and the surrounding region and serves to support the University's teaching, learning, and research needs. The Library staff is ready at all times to assist students and faculty in finding course-related or research materials. The Library provides a number of services for students, staff, faculty, and other Library users. Services include providing a collection of print and non-print reference and circulating materials, including online data bases and electronic full-text journals; acquiring new materials; offering a collection of selected state and federal documents; meeting interlibrary loan requests; providing reference assistance, information, and research consultation; library use instruction; orientation tours; circulation services; and meeting other service requests as needed. All library services available onsite are available to distance education students. Assistance is provided to disabled persons as needed. The Library staff encourages all faculty members to visit its website at <http://www.uncp.edu/library>. The website is updated regularly to reflect the variety of print and non-print materials available at the Mary Livermore Library as well as other Library use information.

### **Campus Health and Safety**

It is the policy of The University of North Carolina at Pembroke, to provide a safe and healthful environment; free from recognized hazards, which may cause serious injury to students, employees, and visitors. This is accomplished by maintaining a comprehensive safety, health, and environmental program, which involves all university employees. For more information on campus health and safety, see the website for the office of Environmental Health and Safety at <http://www.uncp.edu/about-uncp/administration/departments/environmental-health-and-safety/campus-safety>.

### **University Police**

**CAMPUS POLICE 521-6235**

The University of North Carolina at Pembroke Police provides 24-hour-a-day patrol protection to the campus. UNCP police officers are vested with full law enforcement powers and responsibilities identical to the local police or sheriff in your home community. Officers are responsible for a full range of public safety services, including all crime reports, investigations, medical emergencies, fire emergencies, traffic

accidents, enforcement of laws regulating underage drinking, the use of controlled substances, weapons, and all other incidents requiring police assistance.

Additionally, officers routinely share information with appropriate University officials concerning incidents and conditions on campus so that appropriate action can be taken. When a criminal violation is charged, the matter is sent to the criminal courts just as if a crime had been committed in the community. Violations of University rules, regulations and policies that are not criminal violations are routinely reported to the appropriate University officials. Violations of University regulations which are also violations of criminal law may result in a charge against the violator in the criminal courts and also action on the part of the University. In such cases the action on the part of the University and the action by the criminal courts are independent and neither depends on the outcome of the other. For more information about campus security, see the website for the office of Police and Public Safety at <http://studentaffairs.uncp.edu/police-public-safety/>.

### **Motorist Assistance**

Students, faculty, staff, and/or visitors on campus who find themselves in need of emergency vehicle service should call the University Police Department (521-6235) for assistance. Emergency supplies such as an air tank, jump cables, gas can, a device for unlocking automobile doors, and assorted tools are available.

### **Campus Escort Service**

The University Police provide an escort service aimed at pedestrian safety on campus. The hours of operations are primarily from dusk until 12 midnight, but escorts are available upon request from midnight until dawn. To obtain an escort, a student should dial 521-6235.

### **Emergency Telephone Service**

The Office of Police and public Safety has a modern communications system which allows the campus population the ability to contact officers directly 24 hours a day (521-6235). A telephone for emergency use only is located in the lobby of the Police Office on Faculty Row. There are twelve (12) additional Emergency Call Box telephones located at various sites on campus. These telephones are easily identifiable by the “Emergency” marking and blue strobe light mounted on top. To use these telephones, a caller must depress the call button and the telephone rings directly to the University Police. For more information on the emergency telephone service, see the website for this service at the Office of Police and Public Safety at <http://studentaffairs.uncp.edu/police-public-safety/emergency-information/emergency-telephones/>.

### **Student Health Services**

The Student Health Services (SHS), located adjacent to Hickory Hall and across from the Mary H.Livermore Library, offers outpatient health care to students. The facility is supervised by a nurse director, contracted medical director, nurse practitioner, nurses and support staff. University personnel may receive nursing and first-aid services only. Students enrolled at UNCP pay a Student Health Fee as part of their tuition each semester. This fee pays for most services provided to the student by SHS.

Available medical services include primary medicine, routine gynecologic examinations and contraceptive health education, confidential HIV testing, allergy injections, laboratory services, nursing services, minor injury treatment, and health education programs. The waiting times for these services vary depending upon the number of patients using the clinic. The doors to the SHS are locked after 9:00 pm for security reasons. Ring the doorbell for admittance. In an emergency at a residence hall or on campus, notify the campus police and/or a university community director who will contact SHS at (910) 521-6219. <http://studentaffairs.uncp.edu/student-health/>.

### **Travel Procedures and Policies**

In general, when a faculty member anticipates traveling for purposes related to his or her duties, he or she should submit a Travel Request Form (available at <http://www.uncp.edu/about-uncp/administration/departments/controller/forms>). On that form, the faculty member states the purpose of the travel and estimates costs associated with it. The form is to be approved by the Department Chair and other administrators. On returning from the trip, the faculty member should immediately submit a Travel Reimbursement Form (also available at the website listed above) with receipts showing the actual costs of the travel. Again, relevant signatures are required. Note that some costs may be prepaid (for example, airline tickets may be billed directly to the University). The Office for Business Affairs will issue a check for the reimbursement. UNC Pembroke reimburses travel expenses in accordance with the regulations of the State of North Carolina Office of State Budget and Management. Information on travel rates and regulations is available on the website for the Office of the Controller at <http://www.uncp.edu/about-uncp/administration/departments/finance-and-administration/policies-and-procedures/controller/travel-requestauthorization-instructions>.

### **American Express Credit Card Program**

The University of North Carolina at Pembroke has entered into an agreement with American Express to provide credit cards with no annual fee to employees who travel on University business. The American Express card is used in lieu of cash advances. An American Express Credit Card application may be obtained in the Office of Human Resources, Lumbee Hall, Room 347.

### **Purchasing**

The mission of the Office of Purchasing is to provide support to the educational mission of the University by assisting departments in obtaining products and services of high quality at the lowest possible cost and in a timely fashion. Purchasing will process orders in an efficient manner and within the guidelines of state purchasing requirements, UNCP policies, and ethical standards.

UNC Pembroke Purchasing Services provides the following services:

- Acts as legal agent to obligate University funds
- Assists with evaluation of products/services
- Assists in preparation of specifications
- Assists in location of sources
- Solicits and evaluates bids/quotes
- Vendor relations
- Provides information on federal, state and university purchasing regulations
- Maintains descriptive literature, catalogs and current information on materials and equipment
- Disposes of various items of surplus equipment

For more information on the Office of Purchasing, see the website for that office at <http://www.uncp.edu/about-uncp/administration/departments/business-services/purchasing/>

### **Printing**

The Office of Printing is located in the Auxiliary Services Building. It provides printing, copying, and other reproduction services for all academic and administrative departments at a reasonable charge. For more information on the services offered by the Office of Printing, see the website for that office at <http://www.uncp.edu/about-uncp/administration/departments/business-services/printing>.

### **Collection of Money**

No individual or department of the University may collect any money without issuing a receipt and being authorized to do so by the Bursar's office. Funds collected in the name of The University of North Carolina at Pembroke are subject to all State budgetary regulations, and checks will be made payable to The University of North Carolina at Pembroke. The policy on Receipting/Depositing of Collected Monies is available in the website for the Office of Business Affairs at <http://www.uncp.edu/about-uncp/administration/departments/finance-and-administration/policies-and-procedures/controller/receiptingdepositing-collected-monies-policy>

### **Fund Raising and Solicitation**

The University of North Carolina at Pembroke has the duty and responsibility to maintain a safe and healthy work environment conducive to its principal mission of education while respecting the constitutional protection of free speech as well as the individual's right to privacy. Accordingly, the University has adopted a solicitation policy for the purposes of: (a) preserving the University's right to permit or prohibit sales and solicitations activities on University property, and (b) protecting the campus community from sales and solicitations activities that are intrusive, unrelated to our educational purpose, or incompatible with normal operations. This policy is not intended to constrain solicitation of the University, which may be directed to appropriate employees solely in their capacities as employees or agents of the University in the normal operation of University purchasing or contracting. As a means to achieve these ends, University Policy HR 65 02 limits access to the campus community by any entity engaging in a solicitation. The complete policy is located on the website for the Office of Business Affairs at <http://www.uncp.edu/about-uncp/administration/departments/finance-and-administration/policies-and-procedures/human-resources/solicitation-policy>

### **Fund Raising by Student Organizations**

Any student organization desiring to sponsor an on-campus fund-raising activity must first seek the approval of the Director of Student Activities. The reasoning for this is twofold: (1) conflicts will be avoided through efficient scheduling and (2) compliance with State and University statutes and regulations must be monitored.

Off-campus functions by student organizations will not be approved and/or supervised by the University. Student organizations are encouraged to schedule their functions, be they parties or any other form of fund-raiser, on campus. However, students and student organizations are reminded that they are subject to appropriate disciplinary action, including possible suspension or expulsion from the University, for breach of federal, state and local laws or University regulations. This principle extends to conduct off campus which is likely to have adverse effect on the educational process or which stamps the offender as an unfit associate for the other students. Students and student organizations are not entitled to greater immunities or privileges before the law than those enjoyed by other citizens generally. (Statement from UNCP Student Handbook, Section II, "Activities and Regulations" at [http://studentaffairs.uncp.edu/student-conduct/student-rights-and-responsibilities/student-handbook/.](http://studentaffairs.uncp.edu/student-conduct/student-rights-and-responsibilities/student-handbook/))

### **Notary Services**

A number of individuals on campus are notaries public and are willing to provide limited notary services to members of the campus community. Note that they do not have the capability to provide legal advice or to handle complicated transactions.

### **Lost and Found**

Lost and Found is maintained as a service to UNCP students, faculty, and staff. The official location of the University's Lost and Found is the Information Station located on the first floor of the James B. Chavis University Center. The hours are 9am – 9pm Monday-Friday except during the summer when the hours are 10am - 2pm and during nationally recognized holidays during which the area is closed. The

phone number for the Information Station is 910-521-6575. More information about the Lost Found can be located at the website for the University Center at <http://studentaffairs.uncp.edu/center-programs/explore/information-station/lost-and-found/>

### **Career Center**

The Career Center is located in the Chavis University Center, Room 210. The Center's purpose is to assist students and alumni with career planning and the job search. Career counselors are available to assist students in deciding their major, assessing their skills and interests, exploring job information, critiquing resumes, developing interviewing skills, and determining job-hunting strategies.

The Career Library maintains resources related to college majors, careers, employers, graduate schools, internships/co-ops, and the job market. Web services are available for students to post resumes and references, view job listings, and network with employers. Workshops are offered throughout the year on a wide range of career planning topics. The following events are scheduled annually: Freshman Seminar tours, Senior Orientation, Graduate and Professional School Day, Career Fair, Teacher Education Fair, and the Volunteer Fair.

Representatives from business, industry, government, health, and public schools come to the Career Center during fall and spring semesters to interview seniors and alumni for job vacancies. The UNCP Alumni Career Connection is a network for graduates willing to contribute information and/or time to students exploring careers, graduate schools, internships, etc. For more information on the Career Center, view the website for that office at <http://www.uncp.edu/career/>.

### **Teaching Support Services**

#### **Teaching and Learning Center**

The Teaching and Learning Center promotes teaching excellence by generating the ideas, activities, and enthusiasm that foster quality teaching and learning. The TLC seeks to foster an environment where teaching is rewarded and recognized as an opportunity and a privilege. It provides faculty with opportunities to attend weekly presentations and workshops on teaching, the annual Summer Institute on Online and Hybrid Course Development, and the annual Faculty Development Day.

Faculty can also participate in teaching circles; have access to learning resources; and apply for grants for research and professional development, teaching enhancement, and travel to professional conferences.

The Teaching and Learning Center provides instructional design services to assist faculty with the incorporation of technology into teaching, assists faculty with the preparation of promotion and tenure materials, and facilitates the preparation of departmental plans for the assessment of student learning outcomes. The TLC also provides mentors for new faculty and participates in the annual New Faculty Orientation Program. More information about the Teaching and Learning Center can be located at the website for that office at <http://www.uncp.edu/tlc/>.

### **Writing Center**

The Writing Center, staffed by a faculty supervisor and several student assistants, is available to any student who desires assistance with a writing assignment. The Writing Center is located in the Dial Humanities Building and operates on a regular schedule, including some evening hours, to accommodate student needs. No appointment is needed. More information about the Writing Center can be located at the website for that office at <http://www.uncp.edu/writing/>.

### **Counseling and Psychological Services**

Counseling and Psychological Services provides counselors who are available to assist faculty who encounter a student in crisis and to provide support to faculty in dealing with a difficult student. The

Center offers consultation to faculty, staff, and students regarding student development concerns as well as a wide range of mental health issues impacting the campus community. The Center is available to present workshops or guest lectures and can also aid faculty in accessing personal mental health resources. This service may be used to discuss particular student issues or as a one-time referral source for personal concerns. The Counseling Center staff provides programming on topics related to emotional health, sexual assault, diversity, personal growth, relationships, substance abuse and other issues relevant to student life. More information about the Counseling and Psychological Services can be located at the website for that office at <http://www.uncp.edu/caps/>.

### **Center for Student Success**

The Center for Student Success embodies UNCP's commitment to academic success. Together the programs, offices, and resources form a comprehensive academic support network that can assist students to find their ideal path and pursue their degree. The Tutoring Program provides free tutoring services to all students who need further assistance in courses in which they are currently registered. The Resource Learning Lab provides students with an opportunity to improve their academic readiness by utilizing computer software that improves academic skills. More information about the Center for Student Success can be located at the website for that office at <http://www.uncp.edu/academics/opportunities-programs-resources/academic-resources/academic-support-center>.

### **Facilities for Faculty**

#### **Use of University Property**

Faculty members and other employees are not permitted to hold classes, workshops, or other such projects in University buildings for private gain or to use University equipment for that purpose. All classes or instructional projects involving any collection of money are to be handled through the Controller's Office. For more information on reserving UNCP facilities, see the website for the University Center at <http://studentaffairs.uncp.edu/center-programs/>.

Faculty members should be concerned about the physical appearance of their classrooms. If classrooms are not meeting expectations, please contact the Office of Facilities Operations. Lights should be turned off when one leaves the classrooms. Anyone who enters a building by unlocking doors should lock the doors behind them or upon leaving the building. A faculty member who unlocks a door is responsible for the students who enter the building through that door while it remains unlocked.

### **Facilities Management**

Information related to facilities management can be found on the website for the Office of Facilities Management at <http://www.uncp.edu/fm/>. The maintenance of buildings falls under the immediate supervision of the Office of Facilities Operations. The Office processes work requests, fills key requests, and manages reservations for the use of state vehicles. Its departments handle work in the areas of carpentry, electrical, grounds, housekeeping, locksmith, motor pool, painting, and plumbing. For more information on facilities operations, see the website for that office at <http://www.uncp.edu/fo/>.

### **University Bookstore**

The University operates a Bookstore from which students may purchase textbooks and school supplies. Before the opening of each semester, the Textbook Manager will request information concerning anticipated needs from each faculty member. This information is used in ordering necessary textbooks for purchase by students. Careful and accurate estimates should be furnished to the Textbook Manager in order that he or she may avoid an overstock of books and supplies which become obsolete and result in financial loss to the University. For more information on the University Bookstore, see the website for that entity at <http://www.uncp.edu/bookstore/>.

### **Food Services and Catering**

Excellent meals are available from the University cafeteria to faculty and staff at nominal rates. Breakfast, lunch, and dinner are served daily. A debit-card system is part of the UNCP I.D. card, the BravesOne card. This system allows faculty to design their own meal plan. Faculty members may either put “Munch Money” on the card (\$25 minimum) or purchase Block Meals. Block Meals (16 meals minimum) may be purchased at a reduced rate. See the Cashier's Office for Details. Additional information about meal plans can be obtained at the website for University Dining at <http://studentaffairs.uncp.edu/center-programs/eat/campus-dining/>.

Bert's is an informal snack bar, located in the Chavis University Center, providing light meals, coffee, and franchised fast food alternatives to the University Cafeteria. Bert's was named for the late Ms. Bertine Prine, who served for nearly five decades as the administrative assistant to the first six chancellors of the University and was herself an institution on the campus. For more information on Bert's and the University Dining Hall, see the website for University Center at <http://studentaffairs.uncp.edu/center-programs/eat/campus-dining/>.

UNCP Catering Services provides food and beverages for a variety of indoor and outdoor events. For more information on catering policy, catering menus, and a Catering Request Form, see the website for University Dining at <https://uncp.sodexomyway.com/catering/index.html>.

### **Campus Information Sources and Services** **University Communications and Marketing**

University Communications and Marketing is a link between the University and its constituencies. It is responsible for selected internal and external communications and promotional campaigns. The Director is the official University spokesperson. The office coordinates media coverage and disseminates news to the media. In order to accomplish these tasks, the cooperation of all administrators, faculty and staff is requested. University-related trips, appointments, publication of articles, participation in programs, honors received, or any other newsworthy event should be reported for dissemination to the news media. University Communications and Marketing sends news releases and media advisories to media throughout North Carolina, professional journals, and to out-of-state hometown media. A feature of the office is its photographic service which provides photos to accompany the printed news releases. The office provides web page design and programming assistance to other units of the University on request. The office also has the responsibility for screening all publications for external audiences for design and content consistency across units of the University. For more information about University Communications and Marketing, see the website for that office at <http://www.uncp.edu/about-uncp/administration/departments/university-communications-marketing>.

### **Campus Publications** **University Catalog**

The *University Catalog* is published online in a new edition each academic year. The *Catalog* contains the academic policies followed in the University as well as the requirements for degrees in each of the programs offered at UNCP. Course descriptions for each of the courses in each of the academic departments are also listed. A separate section of the *Catalog* describes the graduate programs, graduate admissions requirements and procedures, degree requirements, and specialized policies applicable to graduate education. Annual revisions add any changes in policies, procedures, requirements, program structures, and courses. The *Catalog* also lists current administrative staff and retired current faculty. For more information on the *University Catalog*, see the website for that publication at <http://catalog.uncp.edu/>.

### **Faculty Handbook**

The Office for Academic Affairs publishes the *Faculty Handbook* each academic year. The current *Handbook* is published on the UNCP website along with editions from the recent past. Any needed changes are incorporated into the *Handbook* in the summer preceding each academic year. Such changes are the joint responsibility of the Office for Academic Affairs and the Executive Committee of the Faculty Senate. The *Handbook* contains UNC and UNC Pembroke policies that faculty members should be aware of and should adhere to. Of particular importance to faculty members, the *Faculty Handbook* details the evaluation procedures used for renewal of contracts, annual merit salary increase recommendations, and tenure and promotion in rank. For more information on the *Faculty Handbook*, see the website for that publication at <http://www.uncp.edu/about-uncp/administration/departments/academic-affairs/faculty-handbook>.

### **Student Handbook**

The Office for Student Affairs publishes an updated *Student Handbook* each academic year. Copies are available to faculty on request. Reasonable familiarity with the contents of the *Student Handbook* is generally beneficial to faculty members in their interactions with students, both in class and in other venues. For more information on the *Student Handbook*, see the website for that publication at <http://studentaffairs.uncp.edu/one-stop-shop/student-handbook/>

### **Graduate Student Handbook**

The School of Graduate Studies publishes a *Graduate Student Handbook* and a Graduate Faculty Handbook. Faculty members who may be teaching in graduate programs should request these documents from the Office of Graduate Studies and familiarize themselves with the content. Individual graduate programs may also publish handbooks or similar materials for their particular needs; check with the Program Director of the graduate program in question. For more information on the Graduate Student Handbook, see the website for that publication at <http://www.uncp.edu/academics/colleges-schools-departments/colleges-schools/graduate-studies-and-research/graduate-studies/graduate-student-handbook>.

### **The Pine Needle**

*The Pine Needle* is the award-winning, biweekly student-published newspaper at UNCP. It records the weekly activities associated with the student body and The University of North Carolina at Pembroke. Through its news and sports coverage, *The Pine Needle* staff keeps the student body well informed of what's happening at UNCP. Through *The Pine Needle*, students are afforded a vital communications link with the total University. For more information on *The Pine Needle*, see the website for that publication at <http://www.uncp.edu/pineneedle/>.

### **The Indianhead**

*The Indianhead* is the UNCP yearbook. Photographs of faculty members are generally included as well as pictures of students and a wide variety of campus activities.

### **The Aurochs**

*The Aurochs* is the student literary magazine. It publishes poetry, fiction, creative nonfiction, and art by UNCP students. For more information on *The Aurochs*, see the website for that publication at <http://www.uncp.edu/academics/colleges-schools-departments/departments/english-theatre-and-foreign-languages/aurochs>.

### **UNCP Today**

*UNCP Today* is the UNCP alumni magazine published by the Office for Alumni Affairs. It appears twice a year and is usually mailed to faculty members at their home address. For more information on *UNCP Today*, see the website for that publication at <http://www.uncp.edu/about-uncp/administration/departments/alumni-relations/alumni-magazine>.

## **Other Information Services**

### **E-Mail Services**

#### **Campus Listservs**

UNCP has six email lists which are "global" in scope and are not limited to a specific department. These lists are as follows:

- Official Announcements
- Campus Events
- Personal Announcements
- Faculty Discussion
- Staff Discussion
- Student

Enrollment into the Student and Official Announcements email lists should be automatic for Students and Faculty/Staff respectively. All other "global" mailing lists can be subscribed to from BraveWeb. There are a number of other smaller email lists for departments and other specialized organizations on campus. For a full accounting of these, please see <http://listserv.uncp.edu/mailman/listinfo>. For more information on campus listserves, see the website for the Division of Information Technology at <http://www.uncp.edu/student-services/information-technology/listservs>.

#### **UC Today**

The Director of the Chavis University Center routinely compiles a list of activities occurring each day in the University Center for the campus community for information purposes. For more information on *UC Today*, see the website for the University Center at <http://studentaffairs.uncp.edu/center-programs/>

#### **WNCP Campus TV Station**

WNCP-TV is the University's public broadcast facility staffed by UNCP students. The station telecasts news, public affairs, and entertainment programs over cable networks in counties surrounding this area, including Time Warner Cable, and via over-the-air broadcast on WFPX-TV channel 62 in Fayetteville. WNCP-TV serves 330,000 homes a day and 650,000 a week. For more information about WNCP-TV, contact the Mass Communications Department at the University of North Carolina at Pembroke, Pembroke, NC 28372 or telephone (910) 521-6378. For more information on the WNCP Campus TV Station, see the website for the station at <http://www.uncp.edu/wncp/>.

**SECTION IV**  
**CHAPTER 3**  
**MISCELLANEOUS UNIVERSITY POLICIES**

Academic Freedom and Tenure (*The Code of the Board of Governors of the University of North Carolina*, Sections 600-611) <http://www.northcarolina.edu/policy/index.php>

UNCP Phased Retirement Program <http://www.uncp.edu/about-uncp/administration/policies-and-regulations/all-policies/pol-056501-phased-retirement-program-policy>

UNCP Drug and Alcohol Policy <http://www.uncp.edu/about-uncp/administration/policies-and-regulations/all-policies/pol-042501-drug-and-alcohol-policy>

The University of North Carolina Policy on Illegal Drugs (*The Code of the Board of Governors of the University of North Carolina*, Section 1300.1) <http://www.northcarolina.edu/policy/index.php>

UNCP Smoking Policy <http://www.uncp.edu/about-uncp/administration/policies-and-regulations/all-policies/pol-042506-university-smoking-policy>

UNCP Academic Honor Code <http://www.uncp.edu/student-life/student-services/student-conduct/academic-honor-code>

UNCP Code of Conduct <http://www.uncp.edu/about-uncp/administration/policies-and-regulations/all-regulations/reg-113001-student-code-conduct-regulation>

Improper Relationships Between Students and Employees (*The Code of the Board of Governors of the University of North Carolina*, Section 300.4.1)

<http://www.northcarolina.edu/apps/policy/index.php?pg=vs&id=s326>

Sexual Assault Policy <http://www.uncp.edu/about-uncp/administration/policies-and-regulations/all-policies/sexual-assault-policy>

Sexual Harassment Policy <http://www.uncp.edu/about-uncp/administration/policies-and-regulations/all-policies/sexual-harassment-policy-summary>

Emergency Health and Safety Policy <http://www.uncp.edu/about-uncp/administration/policies-and-regulations/all-policies/pol-042504-emergency-health-and-safety-policy>

UNCP Solicitation Policy <http://www.uncp.edu/about-uncp/administration/policies-and-regulations/policies-under-review/solicitation-policy>

Online Course Management Policy and Procedures

[http://www.uncp.edu/sites/default/files/Images\\_Docs/Departments/Academic\\_Affairs/policies\\_and\\_procedures/online\\_course\\_management.pdf](http://www.uncp.edu/sites/default/files/Images_Docs/Departments/Academic_Affairs/policies_and_procedures/online_course_management.pdf)

Compensation Beyond Contract for EPA Faculty and Non-Faculty Employees

<http://www.uncp.edu/about-uncp/administration/departments/finance-and-administration/policies-and-procedures/human-resources/compensation-beyond-contract-epa-faculty-and-non-faculty-employees>

Student Computing Requirement <http://www.uncp.edu/student-services/information-technology/faculty/committee-reports/student-computing-requirement-committee-report-411>

This publication is available in alternative formats upon request. Please contact the Academic Resource Center, DF Lowry Building, 521-6695.