

Policies and Procedures for Appointment, Reappointment, Promotion, and Tenure

• Introduction

This document delineates the college policies and procedures for the appointment, reappointment, promotion, and tenure of full-time faculty with rank of assistant professor or above. Herein, all persons under consideration for such action will be referred to as candidates. In addition, all recommendations for such action are to be made formally and in writing. This document is meant to supplement the university-level document, "TENURE POLICIES, REGULATIONS AND PROCEDURES OF THE UNIVERSITY OF NORTH CAROLINA AT CHARLOTTE," as revised effective July 1, 2004 currently in effect and available on the university website (hereafter referred to as TPRP).

The university attorney reminds all faculty that laws and circumstances change, and therefore the attorney is available to respond to questions in a particular instance. Every attempt was made to make this college document consistent with the TPRP. However, in the event of a conflict between the two documents on any issue, the procedures and guidelines delineated in the TPRP shall be followed.

In addition, each department within the college has established guidelines and procedures for departmental-level action on the above matters, although the guidelines and procedures of this document prevail over those of the departments. Each faculty member is strongly encouraged to refer to the department, college, and university documents to obtain a complete perspective on these matters.

Definitions of: college, dean, day, faculty, faculty member, financial exigency, formal notice, impermissible grounds, instructor, mandatory review, material procedural irregularities, personal malice, professorial rank, tenure, permanent tenure, tenure track, and unfavorable RPT decision are given in the TPRP.

• Initial Appointments

A. Departmental Recommendation

The recommendation for initial appointments will originate in one of the departments or from a college-wide or university-wide program within the college. Consequently, formal college-level action will commence only upon receipt by the dean of a recommendation for a new appointment. Appointment into a college-wide or university-wide program is a joint appointment between a department and the program. Terms and conditions of all appointments shall be in accordance with the present university guidelines.

The department or college-wide or university-wide program shall establish a search committee composed of at least three of its faculty members, the majority of whom must have permanent tenure. The search committee shall elect its own chair. The search committee shall be charged with screening all applicants for a given faculty position and making recommendations to the department chair.

In making a recommendation, the department chair will consider the search committee's recommendation and consult with the department faculty via an assembly of the faculty.

In the case of initial appointments that confer permanent tenure, the Program Review Committee (hereafter referred to as the PRC) and the Department Review Committee on reappointment, promotion, and tenure (hereafter referred to as the DRC) will, only in the case of joint appointments, make a separate recommendation with rationale to the chair.

The chair of the department will forward his/her recommendation for appointment along with the department search committee's recommendation, the PRC's recommendation (if applicable), and the DRC's recommendation (if applicable and including minority opinions from members of the PRC and the DRC) to the dean.

B. College Recommendation

In the case of appointments with tenure, the dean shall submit all departmental and program (if applicable) recommendations and rationale (the chair's and the department search and review committees', and PRC's if applicable) and supporting documents to the College of Engineering Review Committee . The College of Engineering Review Committee (CERC) on reappointment, promotion, and tenure shall be invited to participate in the on-campus interview process.

The CERC shall make its recommendation, along with any minority opinions, to the dean.

Subsequent to receiving the CERC's recommendation and rationale, the dean shall consult with those bodies with whom his/her recommendation differs prior to making his/her final recommendation.

In all cases, the dean shall forward his/her recommendation, the recommendation of the CERC (if applicable, including written minority opinions), and all departmental and program (if applicable) recommendations and minority opinions of the review committees to the Provost.

The provost shall have final authority to make decisions to appoint associate professors and professors without permanent tenure. For an appointment that would confer permanent tenure, the provost shall make a recommendation to the chancellor.

If the chancellor decides not to recommend an appointment that would confer permanent tenure, that decision is final. If the chancellor concurs with a recommendation from the provost to make an appointment that would confer permanent tenure, the chancellor shall forward his or her recommendation to the Board of Trustees for final approval.

• III. Reappointment, Promotion, and Conferral of Permanent Tenure

A. Faculty Member's Right to Terminate Review

A faculty member may terminate a review for reappointment, promotion, or the conferral of permanent tenure at any time prior to notification of the provost's final decision under Section 6.3.4 of the TPRP by delivering a signed, written request for termination of review to the department chair, with copies to the dean and provost. The department chair, dean, or provost shall respond in writing to the request. If the request is granted, the termination of the review is irrevocable.

If the review terminated by the faculty member included the question of reappointment, employment in the professorial rank will not extend beyond the end of the current term of employment.

If the review terminated by the faculty member included the question of promotion or of the conferral of permanent tenure when such review is not mandated by Section 3.2 of the TPRP, then the review shall be terminated. The termination of a review under these circumstances shall have no effect on voluntary or mandatory reviews in subsequent academic years.

B. Channels of Review

Initial review of cases being considered for reappointment, promotion, and conferral of permanent tenure will be made by the DRC. In the case of appointments held jointly by a department and a college-wide or university-wide program, an independent review of the case will be made by the Program Review Committee (PRC).

The PRC will submit its recommendation to the Department Review Committee (DRC) which shall submit its own recommendation to the department chair. The department chair, after consulting separately with the assembled DRC and PRC (if applicable) and with the assembled tenured faculty of the department (excluding those faculty under

review), shall submit his/her recommendation together with that of the DRC and PRC and any minority opinions of the DRC and PRC (if applicable) to the dean. Evaluations of the candidate's dossier by the PRC, DRC, and by the chair are intended to be separate and independent. However, the DRC may invite the department chair into its discussions if the DRC unanimously determines that doing so will assist in its deliberations. The DRC shall submit its recommendation(s) and rationale(s) whether or not to reappoint, to promote, or to confer permanent tenure to the department chair after considering the advice provided by such permanently-tenured faculty. If the department chair's determination is positive on each action under review, he or she shall, after consulting with the assembled DRC, submit his or her determination and rationale, together with the recommendation(s) and rationale(s) of the DRC, to the dean of the college.

If, after consulting with the assembled DRC, the department chair determines not to reappoint, promote, or confer permanent tenure for a faculty member under review, he or she shall meet with the faculty member to provide the faculty member with a copy of that determination and its rationale and to explain the faculty member's right of rebuttal. Within ten days after this meeting, the faculty member may submit to the dean and the chair his or her written rebuttal to the chair's determination. Upon receipt of the faculty member's rebuttal or at the end of ten days after the chair meets with the faculty member, if the faculty member does not submit a rebuttal, the chair shall submit his or her determinations and rationales together with the recommendations and rationales of the DRC and PRC (if applicable) to the dean of the college.

When the department chair recommends a reappointment, promotion, or the conferral of tenure, the CERC shall consider the case and submit its recommendation to the dean. The dean, after consulting with the assembled CERC, shall then submit his/her recommendation together with that of the CERC, the DRC, the department chair, PRC (if applicable), and any expressed minority opinions from members of the DRC, PRC (if applicable), and the CERC to the provost.

If, after consulting with the assembled CERC, the dean determines not to reappoint, promote, or confer permanent tenure for a faculty member under review, he or she shall meet with the faculty member to provide the faculty member with a copy of that determination and its rationale and to explain the faculty member's right of rebuttal. Within ten days after this meeting, the faculty member may submit to the provost and the dean his or her written rebuttal to the dean's determination. Upon receipt of the faculty member's rebuttal or at the end of ten days after the dean meets with the faculty member, if the faculty member does not submit a rebuttal, the dean shall submit his or her determinations and rationales together with the recommendations and rationales of the CERC, DRC and the PRC (if applicable); the determinations and rationales of the department chair; and the faculty member's rebuttal(s), if any, to the provost.

C. Program Review Committee for College-wide or University-wide Programs (PRC) and Department Review Committee (DRC)

Composition of PRC (if required)

The PRC is to have at least three permanently tenured voting members if possible from the program, and the majority of the committee must be permanently tenured. If three tenured faculty are not available, the PRC committee will be chosen from the college or university. Only tenured faculty members of the committee have voting rights. The same program members will serve on the committee to review faculty members from different home departments in the same academic year. The chairs and faculty members under review are not eligible to serve on the committee.

Elections

The members of the PRC shall be elected by the program faculty no later than April 15 of each year but as early as possible in order to allow the PRC ample time to review the faculty candidates. Permanently tenured faculty from the college or university may be elected as voting members to the PRC only if necessary to constitute the committee. All full-time faculty members of the program who hold professorial rank are eligible to vote. The PRC shall elect its own committee chair.

Term

The term of the PRC shall be for one calendar year starting the first day of the fall semester after election. However, the PRC is not to be discharged until completion of all business started during its tenure.

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The PRC provides recommendations to the faculty member's home department review committee (DRC) on reappointment, promotion, and tenure (including initial appointments with tenure).

Composition of DRC

The DRC is to have at least three permanently tenured voting members from the department), and the majority of the committee must be permanently tenured. Only tenured faculty members of the committee have voting rights. Faculty members under review are not eligible to serve on the committee. No dean, department chair, or any other faculty member who has administrative responsibilities that include line authority to affect salary for, evaluation of, or dismissal of faculty members may serve on the DRC. No faculty member may participate in the same case as a member of the PRC (if applicable), the DRC, and the CERC in reviewing or providing recommendations about reappointment, promotion, or the conferral of permanent tenure.

Election

The members of the DRC shall be elected by the department faculty no later than April 15 of each year but as early as possible in order to allow the DRC ample time to review the faculty candidates. All full-time faculty members of the department who hold professorial rank are eligible to vote. The DRC shall elect its own committee chair.

Term

The term of the DRC shall be for one calendar year starting the first day of the fall semester after the election. However, the DRC is not to be discharged until completion of all business started during its tenure.

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The DRC provides recommendations and rationales to its department chair on reappointment, promotion, and conferral of permanent tenure (including initial appointments with permanent tenure).

D. College of Engineering Review Committee (CERC)

Composition

The CERC shall consist of one full-time faculty member from each department all of whom shall have permanent tenure. The dean, associate and assistant deans, department chairs, faculty members under review, and current members of the department review committees or PRC (if applicable) on reappointment, promotion, and tenure are not eligible to serve on the CERC. No dean, department chair, or any other faculty member who has administrative responsibilities that include line authority to affect salary for, evaluation of, or dismissal of faculty members may serve on the CERC.

It is the responsibility of members of the CERC to act in the interest of the college in general. Members of the CERC do not serve on that body to represent the interests of their home departments in supporting or opposing the case of any faculty member under consideration by the CERC.

Election

The members of the CERC shall be elected at large by the college faculty prior to April 15 by written ballot. There shall be one, and only one, member on the CERC from each of the departments within the college. The CERC shall elect its own chair. Each department shall nominate at least one eligible faculty member from the ballot. Every voting member of the faculty may vote for up to N nominees, where N is the number of departments.

Term

The term of the CERC shall be for one calendar year starting the first day of the fall semester after the election. However, the CERC is not to be discharged until completion of all business started during its tenure.

Charter

The CERC provides recommendations and rationales to the dean on appointment with tenure, reappointment, promotion, and conferral of permanent tenure.

E. Consideration Guidelines

E.1 Documentation

All recommendations for reappointment, promotion, or grant of tenure forwarded to the office of the dean from a department of the college of engineering must contain at least the following:

- **Complete and up-to-date vita (resume) (prepared by candidate; see attached format);**
- **An Affirmative Action Form;**
- **The department chair's recommendation and a written summary evaluation of the activities since the last previous appointment or promotion as they relate to the criteria for reappointment, promotion, or grant of permanent tenure;**
- **The written recommendation (supporting or differing) of the DRC and PRC (if applicable); and**
- **All other documentation material the department and/or candidate wish to provide to support the recommendation. Materials include but are not limited to student teaching evaluations, publications, awards, patents, certificates of merit or appreciation for professional service, alumni, peer, and external evaluations. This material will be returned to the originating departments. It will be retained there indefinitely or be placed in the candidate's personnel file.**

E.1.1 Format of Vita

A suggested format for a vita to accompany recommendations for reappointment, promotion, and permanent tenure is given below. The information requested is that which must be presented to the Board of Trustees and/or the Board of Governors.

- **Education:** full name and present rank. List degrees earned, year earned, and institution.
- **Professional Experience:** List teaching experience at colleges and universities, years employed, and ranks held. Also list pertinent related employment.
- **University and Community Service:** List membership on departmental, college, and university-wide committees and any involvement in community matters, consulting activities, etc.
- **Publications and Research:** List publications and research funds awarded.
- **Honors and Awards:** List educational and community service awards.
- **Professional Affiliations:** List memberships in educational- and professional-related organizations.

E.2 Criteria for Professorial Rank and Permanent Tenure Consideration

E.2.1. Reappointment as Assistant Professor

- Documented past accomplishments in teaching, research, advising student research, and professional activities. Performance measures include but are not limited to teaching evaluations, contributions to course and curriculum development, establishment of a research program, publications, consulting, service as advisor for undergraduate student projects, involvement in departmental and/or program (if applicable), college and university committee activities, and participation in professional societies.
- Demonstration of significant potential for continued future activities and achievements vital to the college of engineering.
- Demonstrated collegiality and ability to cooperatively interact with colleagues, members of the university community, and appropriate persons outside the university.

E.2.2 Promotion to the Rank of Associate Professor and/or Grant of Permanent Tenure

- Documented, demonstrated evidence of the sustained development of a solid record of accomplishments in teaching, research, scholarly activities, consulting, supervision and support of student research, and service. Performance measures include but are not limited to teaching evaluations; a record of refereed publications; service as an advisor for undergraduate student projects; sponsored research projects; active participation in program, departmental, college, and university committees; and professional activities beyond the boundaries of UNC Charlotte.
- Potential for a leadership role in his/her professional discipline.
- Potential to remain a valued faculty member of the department.
- Demonstrated collegiality and ability to cooperatively interact with colleagues, members of the university community, and appropriate persons outside the university.

E.2.3 Promotion to the Rank of Professor

- Documented evidence of the sustained development of a solid record of accomplishments in teaching, research, scholarly activities, supervision and support of student research, and service. Performance measures include but are not limited to teaching evaluations, a record of refereed publications, and service as advisor for undergraduate student projects and/or student research.
- Demonstrated evidence of leadership in scholarship and service.
- Distinguished achievement in teaching or research.
- Established good reputation in the candidate's profession.
- Demonstrated collegiality and ability to cooperatively interact with colleagues, members of the university community, and appropriate persons outside the University.

E.3 Evaluation of Teaching, Research, Scholarly Activities, Consulting and Service

E.3.1 Teaching

- Student Evaluation

Faculty review of student evaluations plays an important role in assessing the candidate's teaching effectiveness. Student evaluations will be submitted for all courses taught by the candidate for a minimum of five years (when applicable) immediately preceding the year of review.

- Alumni Evaluation

The department chair, DRC, and PRC (if applicable) may solicit input from alumni to evaluate the teaching effectiveness and educational values received from the candidate. The alumni (including undergraduate and graduate alumni when applicable) will be contacted and questioned regarding the candidate's teaching effectiveness via the course work and projects in preparing the student for his/her selected career.

- Peer Evaluation

The candidate's ability to provide effective teaching and advising may be assessed by the members of the DRC and PRC (if applicable) through the formal written peer evaluations and other appropriate mechanisms such as: (a)

candid discussions between committee members and individuals or groups of students enrolled in the candidate's classes, and (b) classroom visits or other mechanisms used by the department and/or the DRC and PRC (if applicable).

E.3.2 Research, Scholarly Activities, and Consulting

- **Internal Evaluation**
Faculty within the candidate's discipline and/or program (if applicable) will evaluate and provide input regarding the significance and quality of the candidate's research, consulting, and scholarly activities.
- **External Evaluation**
In the case of a promotion and tenure decision, the department chair, with the assistance of the DRC and PRC (if applicable), will solicit input regarding the candidate's research, consulting, and scholarly activities from external sources. For a reappointment case, it is at the discretion of the department or program to solicit input from external sources. When external input is solicited, the sources may include faculty members at other academic institutions and/or recognized professionals in the candidate's field. Emphasis will be placed on the significance and quality of the published materials and the candidate's contribution and leadership in his/her field of research.

E.3.3 Service

- **Internal Evaluation**
The candidate may submit a list of his/her service activities with brief elaboration. Service activities include but are not limited to administrative responsibilities in the department, the program, or center (if applicable); college and/or university committee assignments; non-university professional activities; participation in continuing education; professional registration; and consulting. Faculty within the candidate's discipline and department may provide input regarding the significance and quality of the candidate's service activities.
- **External Evaluation**
In the case of a promotion and tenure decision, the department chair, with the assistance of the DRC and PRC (if applicable), will solicit input regarding the candidate's service activities from external sources. For a reappointment case, it is at the discretion of the department or program to solicit input from external sources. When external input is solicited, the sources may include but are not limited to faculty members within the university and at other academic institutions, recognized professionals in the candidate's field, and/or alumni. Emphasis will be placed on the candidate's contribution and leadership in his/her area of service.

F. Permissible and Impermissible Grounds

As specified in the TPRP, decisions pertaining to reappointment, promotion, and tenure are the responsibility of the officers of administration authorized to make them. Such officers may use, as the basis of their decisions, any factors deemed relevant to total institutional interests. Under no circumstances shall a recommendation/decision not to appoint, reappoint, promote, or tenure be based upon: (1) exercise by the faculty member's rights of freedom of speech guaranteed by the First Amendment to the Constitution of the United States or by Article I of the Constitution of North Carolina; (2) discrimination based upon the race, color, creed, sex, disability, sexual orientation, religion, age, or national origin of the faculty member, or because of the person's honorable service in the armed services of the United States; or (3) Personal Malice as defined in (Section 1.11) of the TPRP.

• Closed Sessions

Any deliberations by a department, program (if applicable), or college review committee concerning reappointment, promotion, or the conferral of permanent tenure for a particular faculty member shall be held in closed session with only those present whom the committee deems necessary to its deliberations.

H. Confidentiality

All documents submitted or created in connection with the process of review for reappointment, promotion, or the conferral of permanent tenure, and the information contained therein, as well as information derived from any discussions that are part of the formal review, are considered confidential personnel information. All persons participating in the process of review for initial appointment, reappointment, promotion, or the conferral of permanent tenure shall treat such information as confidential. Such confidential records and information shall not be disclosed to or discussed with any person except: (1) review committee members; (2) those persons required or permitted to be

consulted in accord with the requirements of programs (if applicable), department, college, or university policies; or (4) those persons permitted access to such documents by law. Violation of this section may expose any faculty member, including an administrator, to the imposition of serious sanctions pursuant to Section 8 of the TPRP.

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