



MEETING OF THE BOARD OF GOVERNORS
Committee on Educational Planning, Policies, and
Programs
Committee on University Personnel

September 13, 2023 at 9:45 a.m.
Via Videoconference and PBS North Carolina Livestream
University of North Carolina System Office
223 S. West Street, Board Room
Raleigh, North Carolina

AGENDA

OPEN SESSION

- A-1. UNC System Comprehensive Faculty Policy Initiatives
Workgroups ReportDavid English and Wade Maki
- A-2. Adjourn

AGENDA ITEM

- A-1. Comprehensive Faculty Policy Initiatives
Workgroups Report David English and Wade Maki

Situation: President Hans announced a comprehensive study of University of North Carolina System policies that support faculty employment, evaluation, and career progression during the January 2023 University of North Carolina Board of Governors meeting.

Background: Faculty are at the core of the mission of the UNC System, which is to “...discover, create, transmit, and apply knowledge to address the needs of individuals and society.” Within that mission, teaching is identified as the primary responsibility of each of the constituent institutions. When the UNC System was consolidated in 1972, one of the first activities the Board and constituent institutions undertook was the development of a framework for faculty employment. This framework helped the UNC System achieve excellence and national recognition over its first 50 years.

However, the UNC System has not engaged in a holistic and meaningful look at faculty employment and evaluation structures in decades. The landscape for faculty work has changed dramatically in recent years, and we need robust and nimble employment structures that are designed for the next 20 years, not the past 20 years. It is critical that our faculty policies contain incentives and reward structures that provide faculty and institutions the opportunity to be as successful as possible.

To accomplish this, workgroups were established to conduct a comprehensive examination of the policies and regulations that guide the campus approach to faculty employment, including faculty workload, post-tenure review, professional/teaching faculty tracks, evaluation of teaching, faculty recognition programs, and the development of a faculty retirement incentive program.

Assessment: David English, acting senior vice president for academic affairs and chief academic officer at the UNC System Office, and Wade Maki, UNC System faculty chair, are serving as co-chairs of the initiative and will present the committees’ work.

Action: This item is for discussion only.



**THE UNIVERSITY OF
NORTH CAROLINA SYSTEM**

REPORT: UNC FACULTY POLICIES REVIEW AND INITIATIVES

September 13, 2023

University of North Carolina System

Introduction

In the fall of 2022, the University of North Carolina System Office began examining all policies and regulations related to faculty, some of which dated back decades without updates. The examination concluded the University needed to conduct an in-depth evaluation of all faculty governing documents and began planning for the review. President Peter Hans announced the plans to the University of North Carolina Board of Governors on January 19, 2023, stating:

“It’s been a very long time since we’ve taken a close look at how we’re valuing the people who do that extraordinary work. The University policies that govern faculty career tracks have been unchanged for decades, even as the scale of the University and the complexity of the work have grown significantly. As we look to the future of a great institution, it’s time for a thorough review of how we support and assess our faculty.

Over the next few months, we’ll be launching a series of working groups to review faculty career opportunities, teaching evaluation practices, our award and recognition programs, and post-tenure review policies. There’s enormous variation among our campuses and even within our campuses when it comes to the way faculty are developed and supported. For many years, we’ve heard concerns from faculty advocates about inequities in workload, in review processes, and in the way service and teaching are weighed in faculty evaluations. It’s time to bring greater clarity and fairness to the people who do such meaningful work on our campuses.”

The University decided on a deliberate process to initially review these policies within six months and provide a report on working group and subcommittee findings, proceeding to introducing policy and regulation changes as appropriate during or after the review period.

The Review Process

Dr. David English, acting senior vice president for academic affairs and chief academic officer, co-chaired the Faculty Policies Workgroup with Wade Maki, chair of the UNC Faculty Assembly. Based on President Hans’ charge, they divided the general policy considerations into six specific areas relating to how faculty are developed and supported, with a goal of bringing clarity and fairness to all aspects of faculty governance, while retaining the needed flexibility for oversight and application across our 16 diverse and unique institutions. The project would include a steering committee and a committee for each specific area. The UNC Faculty Assembly Executive Committee and the UNC Chief Academic Officers all examined their areas and submitted nominations for the committees. The final committee structure included representatives from all 17 constituent institutions comprising faculty, campus administrators, and UNC System Office staff, and each committee included a provost.

Steering Committee:

David English (Co-chair)

Wade Maki, (Co-chair)

Michael Delafield, Senior Associate General Counsel, UNC System Office

Jack Monell, Faculty Senate Chair and Assistant Professor of Justice Studies, Winston-Salem State University

Rondall Rice (Project Manager), Executive Director for Operations and Administration, UNC System Office

Farrah Ward, Provost and Vice Chancellor for Academic Affairs, Elizabeth City State University

Crystal Woods, Chair, Staff Assembly and Staff Senate Chair, North Carolina School of Science and Mathematics

*all committee chairs attended Steering Committee meetings

Awards and Recognition Committee:

Billy Ogletree (Chair), Catherine Brewer Smith Distinguished Professor of Communication Sciences and Disorders, Western Carolina University

Anthony Artimisi, Chair, Department of Liberal Studies and Associate Professor of Music, Winston-Salem State University

Gabriel DiMartino, Assistant Professor of Trumpet, East Carolina University

Kuldip Kuwahara, Professor of Language and Literature, North Carolina Central University

Jill Lane, Interim Director, Office for the Advancement of Teaching and Learning, University of North Carolina School of the Arts

Katie O'Connor, Provost and Vice Chancellor for Academic Programs, North Carolina School of Science and Mathematics

Evaluation of Teaching Committee:

Bethany Meighen (Chair), Vice President for Academic and Student Affairs, UNC System Office

Christine Boone, Associate Professor of Music, University of North Carolina Asheville

Sean Colbert-Lewis, Faculty Senate Chair and Associate Professor of History and Education, North Carolina Central University

Mehran Elahi, Professor of Technology, Elizabeth City State University

Amy Harris Houk, Assistant Dean for Teaching and Learning, University of North Carolina at Greensboro

Renee Lamphere, Professor of Sociology and Criminal Justice, University of North Carolina at Pembroke

Janna Levin, Associate Professor of Liberal Arts, University of North Carolina School of the Arts

Xiaoxia Newton, Associate Professor of Education, University of North Carolina at Charlotte

Cheryl Waters-Tormey, Associate Professor of Geology, Western Carolina University

Jamie Winebrake, Provost and Vice Chancellor for Academic Affairs, University of North Carolina Wilmington

Faculty Retirement Incentive Program (FRIP) Committee:

Jonathan King (Chair), Associate Professor of Music, University of North Carolina Asheville

Carol Cain, Associate Professor of Accounting, Winston-Salem State University

Robin Coger, Provost and Senior Vice Chancellor for Academic Affairs, East Carolina University

Joseph Graves, Professor of Biological Sciences, North Carolina Agricultural and Technical State University

Nicole Lucas, Associate Vice Chancellor for Institutional Effectiveness, Research, and Planning, Fayetteville State University
Dianne Welsh, Hayes Distinguished Professor of Entrepreneurship, University of North Carolina at Greensboro

Faculty Workload Committee:

Diane Marian (Chair), Vice President for Data and Analytics, UNC System Office
Mimi Chapman, Chair of the Faculty and Frank A. Daniels Distinguished Professor for Human Service Policy Information, University of North Carolina at Chapel Hill
Susan Harden, Associate Professor of Education, University of North Carolina at Charlotte
Jeff Konz, Director of Institutional Research and Professor of Economics, University of North Carolina Asheville
Chad Leslie, School of Design and Production, University of North Carolina School of the Arts
Charles Maimone, Vice Chancellor for Finance and Administration, NC State University
Meghan Millea, Professor of Economics, East Carolina University
Carmen Monico, Associate Professor of Social Work, North Carolina Agricultural and Technical State University
Debbie Storrs, Provost and Executive Vice Chancellor, University of North Carolina at Greensboro

Post-Tenure Review Committee:

Carol McNulty (Chair), Associate Provost for Undergraduate Education and Faculty Affairs, University of North Carolina Wilmington
Leigh Cellucci, Associate Dean for Academic Affairs, College of Allied Health Sciences, East Carolina University
Sarah Daynes, Professor and Director of Graduate Studies, University of North Carolina at Greensboro
Kimberly Grainger, Associate Vice Provost for Academic Personnel and Policy, NC State University
Tonya Smith-Jackson, Provost and Executive Vice Chancellor for Academic Affairs, North Carolina Agricultural and Technical State University
Jim Westerman, James E. Holshouser Distinguished Professor in Ethics, Appalachian State University
Erin White, Associate Dean, Lloyd College of Health, Science, and Technology, Fayetteville State University

Professional Track Faculty Committee:

Norma Houston (Chair), Chief of Staff, UNC System Office
Lisa Ellison, Teaching Instructor, Department of Foreign Languages and Literature, East Carolina University
Karen Ford-Eickhoff, Clinical Professor of Management, Department of Management, University of North Carolina at Charlotte
Cam Enarson, Vice Dean for Strategic Initiatives, Professor Anesthesiology, School of Medicine, University of North Carolina at Chapel Hill
Sandie Gravett, Professor of Religious Studies, Department of Philosophy and Religion, Appalachian State University

Nathan Grove, President of Faculty Senate and Associate Professor of Chemistry, Department of Chemistry and Biochemistry, University of North Carolina Wilmington

Viji Sathy, Associate Dean for Evaluation and Assessment, Undergraduate Education, College of Arts and Sciences and Professor of Practice, Department of Neuroscience and Psychology, University of North Carolina at Chapel Hill

Patrick Sims, Provost and Executive Vice Chancellor, University of North Carolina School of the Arts

Robin Snead, Lecturer, Department of English, Theater, and World Languages, University of North Carolina at Pembroke

The committees began work in January 2023, meeting regularly through the spring semester. The Steering Committee met weekly. All committee chairs reported on their progress to the Steering Committee from February until May 2023. The committees examined all UNC System policies and regulations applicable to their respective areas and made recommendations for changes and updates, while also examining peer institutions and peer university systems across the country.

Summary and Next Steps

The appendices contain the final reports from all committees, with findings and recommendations. The UNC System Office began proposing changes to policies, guidelines, and regulations to the Board of Governors in May 2023, starting with the updated policy on faculty workloads. The co-chairs and Steering Committee examined committee findings during the summer and, as needed and approved by the president, will present to the Board of Governors other recommended changes to the UNC Policy Manual and/or *The Code* during Academic Year 2023-24.

The major findings of the committees are summarized below.

Awards and Recognition

The Awards and Recognition committee created guiding principles for all award revisions, provided a list of recommendations, and recommended specific revisions to the Oliver Max Gardner and James M. Holshouser award descriptions and application processes. The committee members held additional meetings during the summer 2023 break, and they continue meetings beyond the date of this report to consider the Awards for Excellence in Teaching and a proposed award addressing innovation within the UNC System.

Evaluation of Teaching

The Evaluation of Teaching Committee recommended revising policies (and associated guidelines and/or regulations) to address three components: identifying instruments for evaluating teaching; interpreting and using teaching evaluation instruments; and practices related to teaching evaluations. When identifying the instruments, institutions should ensure they focus on student learning and opportunities for faculty to enhance pedagogy, with training on understanding and using the instruments and the inputs (surveys, evaluations, etc.). Institutional administrators should use the evaluations as formative measures for faculty development and use them to craft faculty development opportunities, as well as

reward high-quality teaching. The institutions should be clear and transparent on the data collection for the evaluations, and in articulating how evaluations will be used.

The committee recommended that the UNC System Office play a role in assisting the institutions by offering training on using evaluations to enhance pedagogy and student learning experiences, as well as creating a “best practice toolkit” to assist institutions and the faculty.

Faculty Retirement and Incentive Program (FRIP)

The FRIP committee developed recommendations for an incentive program that would offer a voluntary retirement benefit to faculty, while allowing UNC System institutions to maximize resources and reinvest its resources, in alignment with each institution’s strategic priorities and long-term needs.

Faculty participation in FRIP would be voluntary, and the initial program would be a “proof of concept” to assist five institutions (East Carolina University, North Carolina Central University, University of North Carolina Asheville, University of North Carolina at Greensboro, and Winston-Salem State University), due to their current and/or anticipated enrollment declines. Initial rollout would be a prototype for opt-in retirement plans at all UNC System institutions.

Best practices identified communication of the application and selection criteria (determined by each institution) is critical. Provosts, in consultation with institution leadership, would be responsible for reallocations and ensure administrative flexibility.

Faculty Workload

The Faculty Workload committee identified core principles, made a list of recommendations, and completed a proposed policy to supersede Section 400.3.4 of the UNC Policy Manual, *Policy on Monitoring Faculty Workloads*. The UNC System Office submitted a proposal to the Board of Governors at their May 24, 2023, meeting, and the Board subsequently approved the policy changes at the July 19, 2023, meeting. See <https://www.northcarolina.edu/apps/policy/doc.php?type=pdf&id=185>.

A short summary of the identified principles included the need for any policy to be broad enough to recognize variations in faculty types and work and our wide range of institutional missions, using accepted practices, while retaining equity in workload assignments and ensuring institutional and System clarity. The committee used and encapsulated the principles from the American Council on Education (ACE) 2022 report, *Equity-Minded Faculty Workloads: What We Can and Should Do Now*.

The recommendations, and updated policy, recognizes the contributions of individual faculty members and ensures rigor of their workloads, while allowing institutions the flexibility to responsibly manage workloads in a way that aligns with the needs of the university, colleges, departments, and individual faculty members. Further guidance will be needed to assist institutions in writing and implementing policies that align with the System policy.

Post-Tenure Review (PTR)

The PTR committee, as well as the Steering Committee, concluded that the foundations of the UNC System PTR policies broadly remain very sound. In fact, in a comparison to peer systems one could conclude that other systems may have used UNC PTR policies as a template—and recent changes in Florida bring them closer to UNC System policies for PTR.

However, areas for improvement remain in UNC policies and regulations:

- Guiding documents should include a requirement for greater use of the annual performance review process to align with PTR expectations and progress, and the inclusion in the five-year PTR review of a faculty self-evaluation component.
- The UNC System needs to update the training videos to make them shorter and more relevant.
- Moving certification of required PTR training down to the college/school/department level, and not with the provosts. Doing so would increase oversight and improve process management.
- For faculty who “exceed expectations,” the committee recommended several actions to reward and recognize such performance, to include financial incentives, to improve morale and increase retention of high-performing faculty.

Professional Track Faculty

The Professional Track Faculty committee determined that the most productive path forward to meet its charge was to draft recommended policy language amending Chapter VI of *The Code* and identify additional recommendations to be included either in future policy changes or accompanying regulations. Section II of the full report provides the committee’s recommended amendments to Chapter VI of *The Code*. Section III provides additional policy recommendations to be considered for inclusion in either future policy amendments or regulations.

In developing its recommendations, the committee strove to achieve balance between establishing system-wide standards and allowing appropriate flexibility for constituent institutions to adopt policies tailored to fit the unique mission, culture, and circumstances of each institution.

The committee’s recommendations seek to actualize the following three goals:

1. **Accurately reflect the composition of the faculty in the policy language about faculty.** Given the importance of faculty members to the mission and success of UNC System institutions, the committee recommends that the concept of “faculty” within *The Code* be defined to reflect accurately all faculty.
2. **Ensure equitable employment conditions for all paid faculty.** Given that the provisions within Chapter VI of *The Code* shape how constituent institutions develop policies and regulations governing employment conditions of faculty such as appointments, reappointments, promotion, workload, career progression, compensation, separation from employment, and access to processes for fair consideration of employment disputes, and that these issues are core to ensuring equitable employment conditions, the committee recommends language that directs

campuses to ensure their policies and regulations on these key issues extend equally, as appropriate, to all paid faculty.

3. **Accord all paid faculty the opportunity to participate fully in and enjoy the benefits of the faculty role.** Given that being a faculty member entails more than teaching (while still recognizing that teaching is the University's primary mission), the committee recommends adopting provisions in *The Code* making clear that paid faculty be eligible, as appropriate, to participate in faculty governance matters, to benefit from professional development programs and career advancement, and to earn faculty awards and recognition.

Appendix A

Awards and Recognition Committee Report

Principles Generated by the Committee to Guide Award Recommendations and Revisions

1. Are award application processes clear, streamlined, and supported in a manner that makes broad participation likely?
2. Are award criteria structured in a manner that invites submissions from a diverse group of applicants representing all System institutions (i.e., diverse with respect to race, culture, age, gender, orientation, faculty status, discipline, etc.)?
3. Are awards structured in a manner that encourages applications featuring innovative strategies to address current issues and challenges facing students and other UNC System stakeholders?
4. Are faculty awards constructed in a manner that addresses UNC System strategic categories (e.g., access, student success, affordability and efficiency, economic impact and community engagement, and excellent and diverse institutions) and recognizes those having significant impact on the UNC System's ability to serve the state of North Carolina?

Recommendations from the Awards and Recognitions Committee

1. **Creation of a centralized site for institutions to use in the generation of award nominations.** The site may provide exemplars specific to various awards and should be a repository for award details and timelines.
2. **Consistent annual timelines for the distribution of awards and materials and due dates.**
3. **Alteration of the nominee selection process so that it includes faculty.** This will necessitate a general distribution of award information and a demystification of awards. Faculty involvement should be the responsibility of participating campuses. For example, once universities receive awards notifications, calls for nominations could be distributed to faculties at large. Involving faculty will inevitably extend award timelines.
4. **Related to recommendation three above, educate faculty and other campus stakeholders about all awards and their purposes.**
5. **Recognize all nominees for awards.** Upon offering awards, both winners and non-winning campus nominees should be recognized. This could occur in the form of press releases and/or financial recognition.
6. **Consider two nominees for all awards per campus.** If implemented, this would highlight additional faculty work.
7. **Consider team applications where possible.** After discussion, the committee agreed that this might work best for awards other than the Oliver Max Gardner award.
8. **Create an innovation award addressing integrated and novel work.** This award will be tied to integrated efforts regarding UNC "strategic pillars" and will provide a showcase for current, everyday work on campuses.
9. **Consider monetary awards that impact recipients' base pay.**

* The committee's recommended revisions to the following award materials are highlighted in yellow.

Revisions for the Oliver Max Gardner Award Materials Circulated to Institutions

THE OLIVER MAX GARDNER AWARD

Governor Gardner's will provides that the "Board of Trustees of the Consolidated University of North Carolina" shall pay annually the net income from a trust fund to "that member of the faculty of the Consolidated University of North Carolina, who, during the current scholastic year, has made the greatest contribution to the welfare of the human race. As used in this Article of my will, the term 'faculty' shall embrace all persons, including instructors, engaged in teaching in any unit, institution or branch of service of the Consolidated University of North Carolina."

In January 1973, the Attorney General of North Carolina rendered an opinion that the "coverage of the Gardner Award may be extended to include faculty members at any one of the sixteen campuses which now constitute The University of North Carolina."

1. In the fall of each year, the Board of Governors will name, or authorize the Chairman to name, a committee on the Gardner award. The committee will invite the institutions to submit nominations and will prescribe procedures to be followed.
2. Nominees for the Oliver Max Gardner (OMG) award will be solicited from participating institution faculties. This process will occur after institutions have been notified of the award timeline and received award materials. Descriptions of the OMG award, its purpose, and eligibility guidelines will be provided to faculty at each institution. Self or other nominations, including one-page rationales for consideration, will be made available to campus committees comprised of institution faculty. Campus committees will invite a subset of nominees to submit more complete packets detailing contributions to the human race in lay terms. Nominees chosen by selection committees will be directed to UNC System resources to assist with packet creation. No more than two faculty packets will be forwarded to institution chancellors by selection committees. Chancellors will add written letters of support/nomination. Each campus will be allowed two nominees.
3. The will provides that the award shall go to the faculty member "...who has made the greatest contribution to the welfare of the human race." Contributions to the human race are myriad and can emanate from faculty representing diverse disciplines. The majority of previous recipients have been persons who made notable contributions of national or international scale, or persons whose contributions, although local, served as models nationally or internationally.
4. Through the years the committees of the Board have recognized that the selection procedure, which must begin in the fall, makes it difficult to adhere strictly to that provision of the will, which states that the award shall recognize a contribution made "during the current scholastic year." In order to give as much weight to this clause as is feasible, the committees usually look for nominees whose recent teaching or research challenges or expands upon current issues as well as creates possibilities and opportunities for transformative, new ways of thinking.

5. Nominees and those supporting them are encouraged to review award-winning nominations from previous years. These are available at _____.

APPLICATION

2023 OLIVER MAX GARDNER AWARD

AWARD DESCRIPTION:

The Gardner Award, first presented in 1949, is given annually to a member of the faculty of the University of North Carolina System, who, during the current scholastic year has made “the greatest contribution to the welfare of the human race.” Faculty of the 17 constituent institutions are eligible. A list of recent Gardner award winners appears at _____. Information to assist with the application process is at _____.

REQUIRED MATERIALS:

Institutions are required to submit their files electronically; documents must be submitted in pdf format. Paper submissions will not be accepted. In an attempt to minimize the file size, when possible, do not include unnecessary graphics and use original, electronically generated documents. Please email the application, including the items below, no later than the third Friday in October to the UNC System Office: UNCAwards@northcarolina.edu.

1. Completed application form.
2. Letter of nomination/cover letter from the chancellor supporting the candidates' demonstrated contribution to the welfare of the human race.
3. Executive summary.
4. Highlights of the candidates' recent accomplishments related to the award and associated contribution to public welfare.
5. Nominees' resume or curriculum vitae.
6. Letters of support, (maximum four).

NONINEE INFORMATION:

INSTITUTION:

FULL NAME:

POSITION OF ACADEMIC RANK:

EMAIL:

PREFERRED TELEPHONE NUMBER:

For further information or questions regarding applications for the Oliver Max Gardner Award, contact the Division of Academic Affairs at the UNC System Office, UNCAwards@northcarolina.edu.

Revisions for the Holshouser Award Materials Circulated to Institutions

THE JAMES M. HOLSHOUSER AWARD

The University of North Carolina Board of Governors Award for Public Service was created in 2007. In 2013, it was renamed the Governor James E. Holshouser, Jr. Award for Excellence in Public Service. The purpose of the award is to encourage, identify, recognize, and reward public service by faculty members of the University. A list of recent Holshouser award winners appears at _____. Information to assist with the application process is at _____.

1. In the fall of each year, the Board of Governors will name or authorize the chair to name a committee on the Holshouser award. The committee will invite the institutions to submit nominations and will prescribe procedures to be followed.
2. Nominees for the Holshouser award will be solicited from participating institution faculties. This process will occur after institutions have been notified of the award timeline and received award materials. Descriptions of the Holshouser award, its purpose, and eligibility guidelines will be provided to faculty at each institution. Self or other nominations, including one-page rationales for consideration, will be made to campus committees comprised of university faculty. Campus committees will invite a subset of nominees to submit more complete packets detailing sustained, distinguished, and superb achievement in public service and outreach. Nominees chosen by selection committees will be directed to UNC System resources to assist with packet creation. No more than two faculty packets will be forwarded to institution chancellors by the selection committees. Chancellors will add written letters of support. Each campus will be allowed two nominees.
3. The Board of Governors Committee on Educational Planning, Policies, and Programs is responsible for reviewing applications and selecting an individual to nominate to the full Board. Members of the Board of Governors review the recommendation from the Committee on Educational Planning, Policies, and Programs, and vote on a recipient.
4. Most previous recipients have been persons who made notable contributions of national or international scale and whose commitment to service has improved the quality of life in North Carolina or elsewhere.
5. Selection committees value nominees whose service challenges or expands upon current issues as well as creates possibilities and opportunities for transformative, new ways of thinking.
6. Nominees and those supporting them are encouraged to review award-winning nominations from previous years. These are available at _____.

APPLICATION
2023 Governor James E. Holshouser, Jr.
Award for Excellence in Public Service

AWARD DESCRIPTION:

The University of North Carolina Board of Governors Award for Public Service was created in 2007. In 2013, it was renamed the Governor James E. Holshouser, Jr. Award for excellence in Public Service. The purpose of the award is to encourage, identify, recognize, and reward public service by faculty members of the University. All UNC System faculty are eligible regardless of rank or employment status.

SELECTION CRITERIA:

- Faculty from any of the 17 institutions within the University of North Carolina System are eligible.
- Nominees must demonstrate sustained, distinguished, and superb achievement in public service and outreach, reflecting a commitment to improving the quality of life in North Carolina or elsewhere.
- The nominees' achievements must exhibit a level of both creativity and impact that greatly exceeds the normal accomplishments of a productive faculty member.
- The selection committee considers long-term achievements, special projects with extraordinary impact, and collaborative efforts.

NONINEE INFORMATION:

INSTITUTION:

FULL NAME:

POSITION OF ACADEMIC RANK:

EMAIL:

PREFERRED TELEPHONE NUMBER:

Institutions are required to submit their files electronically; documents must be submitted in pdf format. Paper submissions will not be accepted. In an attempt to minimize the file size, when possible, do not include unnecessary graphics and use original, electronically generated documents. Please email the application, including the items below, no later than the third Friday in October to the UNC System Office: UNCAwards@northcarolina.edu.

REQUIRED MATERIALS:

1. Letter of nomination/cover letter from the chancellor supporting candidates' demonstrated record of public service.
2. Executive summary including highlights of the candidates' recent accomplishments related to the award.
3. Nominees' resume or curriculum vitae.
4. Letters of support, optional, limited to two.

Appendix B

Evaluation of Teaching Committee Report

Overview of Process

The Evaluation of Teaching Working Group met six times over the spring semester. The kick-off meeting was an opportunity for the group to discuss how the evaluation process operated at their individual campus and ways to enhance this process. Over the next five meetings, various presenters shared their research on faculty evaluation or provided an overview of how their institution's Faculty Senate was working to improve this process. For example, Dr. Xiaoxia Newton provided an update on University of North Carolina at Charlotte's efforts to revise their evaluation of teaching processes and how these new initiatives will be implemented during 2023-24. Dr. Jennifer Dalton, associate professor in the Department of Communication Sciences and Disorders at Appalachian State University, also attended a working group meeting to discuss her research on "Using speech analysis to unmask perceptual bias: Dialect, difference, and tolerance." Outside of the Zoom meetings, the working group was charged with different review assignments to enhance the recommendations.

Recommendations

The working group supports the revised policy addressing the following three main components (a) identifying instruments for evaluating teaching, (b) interpretation and uses of teaching evaluation instruments, and (c) policies and practices related to teaching evaluations.

A. Identifying Instruments for Evaluating Teaching

- a. Institutions should review the nature of evaluations to ensure focus on student learning and opportunity for faculty to enhance pedagogy
- b. Institutions should consider changing name of "teaching evaluations" or "course evaluations" to student feedback for instructors (SFI) or other nomenclature
- b. Institutions need to use multiple inputs to assess teaching; these could include:
 - Student feedback for instructors
 - Peer assessment/observation
 - Instructor generated teaching portfolios
 - Scholarship of teaching and learning-outside presentations
- c. The regulation should cite examples of types of assessments and the UNC System Office or institutions should explore offering trainings on how to effectively use these assessments to enhance pedagogy and the student learning experience. The trainings should help ensure faculty and peer review committees understand the significance of survey results, such as low or high response rates, small or large classes, split lab and class sections, etc.

B. Interpretation and Uses of Teaching Evaluation Instruments

- a. Institutions need to train responsible parties on the appropriate interpretation of instrument results (including temporal issues; biases; low enrollment issues; course level; etc.)
- b. Evaluation findings should be used as formative for faculty development
 - a. Encouraging faculty reflection on evaluation results as part of a faculty member's annual review process

- b. Creating development opportunities for faculty around teaching, including expansion of CTEs
- c. Summative evaluation based on formative evaluation
- c. Institutions can use evaluation findings as a way to reward and acknowledge high quality teaching

C. Policies and Practices Related to Teaching Evaluations

- a. Institutions should clearly articulate how teaching evaluations are used and this information should be communicated through multiple channels (announcements, department meetings, HR updates, etc.)
- b. Institutions should utilize data collection systems that are transparent, effective, and efficient
 - a. Institutions should identify sufficient response rates to ensure validity and reliability of the information
 - b. Institutions should explore systematic ways to engage students to participate in the feedback process to the maximum extent practicable
 - i. Examples: Students receive extra credit for completing the evaluation, faculty provides class time to complete evaluation
- c. Institutions should consider encouraging faculty to conduct evaluations throughout a course at periodic intervals as practicable (e.g., mid-semester feedback)
- d. The UNC System should create a best practice toolkit that institutions can utilize as a starting point for this work

Resources Collected

The Evaluation of Teaching Working Group collected resources and best practices for evaluation of teaching from various UNC System institutions and national publications. Some of the items are included here, but a complete list will be made available to the UNC System provosts.

American Association of University Professors, *Statement on Teaching Evaluation*:

<https://www.aaup.org/report/statement-teaching-evaluation>

Appalachian State University, Center for Excellence in Teaching and Learning For Student Success:

<https://cetlss.appstate.edu/teaching-learning>

The IDEA Center, Best Practices in the Evaluation of Teaching:

<https://files.eric.ed.gov/fulltext/ED588352.pdf>

Carl Edwin Wieman, "Expertise in University Teaching & the Implications for Teaching Effectiveness, Evaluation, and Training," *Daedalus*, Volume 148, Issue 4, Fall 2019:

https://doi.org/10.1162/daed_a_01760

Appendix C

Faculty Retirement Incentive Program (FRIP) Committee Report

Charge

The Faculty Retirement Incentive Program Committee was charged with developing recommendations for an incentive program that would offer a voluntary retirement benefit to faculty, while allowing universities to maximize resources and reinvest resources in alignment with each institution's strategic priorities and long-term needs.

Rationale

- The UNC System is committed to supporting efforts that improve institutional and student success as outlined in the UNC System Strategic Plan (2022-27). The active maintenance of a dynamic, healthy, and happy faculty is key to those successes.
- We should seek to provide a range of resources and tools that support our varied institutions in their respective endeavors to produce excellent and impactful scholarship, service, and teaching for generations to come. This Faculty Retirement Incentive Program is one such tool.
- The program will establish a clear pathway for institutions to offer retirement incentives to faculty who have played a vital role in our UNC System institutions, and who choose to retire at the right moment for them.
- The benefit will assist in proactively planning for successful faculty transitions into retirement. This voluntary incentive program will also enable universities to maximize resources and reinvest resources in alignment with each institution's strategic priorities and long-term needs.

Motivations Behind the Policy:

- Our faculty have served the state, our universities, and our students faithfully. Many have requested similar retirement plan options, and they deserve this optional benefit.
- Addressing difficult enrollment realities necessitates the honest assessment and management of efficiencies and reallocations.
- This incentive seeks to encourage voluntary participation. It also enables institutions to maximize resources that address the strategic needs of the university, thereby creating a win-win outcome.
- This rollout is a "proof of concept" that first takes advantage of a small use of funds to assist five of our institutions that are experiencing current or anticipated enrollment declines due to socioeconomic realities that are beginning to affect our other institutions. Those institutions include East Carolina University, North Carolina Central University, University of North Carolina Asheville, University of North Carolina at Greensboro, and Winston-Salem State University.

- The initial rollout of this Policy would serve as a prototype for opt-in retirement plans at all UNC System institutions, who will need tools such as these, given our imminent enrollment constraints.

Resolutions and Policy Recommendations:

Systemwide Eligibility:

The decision to retire is entirely and exclusively that of the faculty member. Eligibility criteria should initially include:

1. Empirical factors
 - a. Age (i.e., 55 years of age or older)
 - b. Employment status (full time tenured, and 10 years of System service).
 - c. Years of service (fully vested in either the Teachers' and State Employees' Retirement System or UNC's Optional Retirement Program).
2. A simple, calendar-driven application process open to all eligible faculty members, to be assessed at, and by, each institution.
3. An institution-specific process would be used to assess applications.

Best Practices:

- The leadership of institutions participating in the program should have a collaborative discussion with its faculty and its human resources department prior to launching the program.
- Provosts would be responsible for reallocations, in consultation with university leadership, ensuring administrative flexibility.
- Communication of the application and selection criteria determined by each institution is critical to the appearance of a collaborative discussion.
 - Information about the Faculty Retirement Incentive Program should be accessible to all faculty at the participating university.
 - Eligibility criteria and selection should avoid the appearance of discriminatory behavior.
 - Any application for early retirement should not lead to discrimination of any kind against the faculty member or their academic unit, whether or not the application is approved.

Subsequent Incarnations of this Policy:

The initial rollout of the FRIP should serve as a prototype for all campuses in the UNC System, due to imminent enrollment constraints.

Appendix D

Faculty Workload Committee Report

Principles Identified

- Faculty are core to the success and missions of our System's universities. A System policy should be sufficiently broad to recognize the different ways that faculty work contributes to their university and the System's goals. Faculty workloads should support student success and student outcomes.
- Institutional oversight and flexibility: Given the complexity and variability of faculty work, and the wide range of institutional missions, oversight belongs with the institutions.
- Universities operate within a set of external factors, such as resource constraints, changing enrollment patterns, and budgetary limitations.
- Best practices and research should guide faculty workload policies.
- This is an opportunity to broadly recognize varied, and often invisible, work of faculty. This includes classroom teaching, research and other creative activities, service, governance, administrative responsibilities, and mentorship of colleagues and students.
- Comprehensive consideration of faculty work recognizes that some work is easily measured with discrete performance metrics while other work, often larger projects, must be monitored as progress toward outcomes thus faculty workload assessments should also include the intermediary steps. Faculty workload policies should not be based on what is easy to measure.
- Core function: Within the breadth of faculty work, teaching is a core function, even though the relative weight of teaching in faculty workload may vary across institutions.
- The contributions of our engaged faculty should be recognized and valued.
- Universal application: Applies to all faculty regardless of tenure or professional stream status, rank, or discipline. Expectations and responsibilities may vary based on faculty type and rank but should be comparable within the norms of the discipline. Institutional workload assignments should align with the institution's priorities and constraints, have internal consistency, and be comparable to other system institutions.
- Equity is critical: Emphasize the importance of equity in faculty workload assignments; it is inappropriate for faculty members to either be underutilized or overburdened. Institutions should have processes for reviewing assignments.
- Principles adapted from the [ACE report](#):
 - Transparency: Widely visible information about faculty work activities is available
 - Clarity: Clearly identified and well-understood benchmarks for faculty work activities
 - Credit: Faculty members who are expending more effort in certain areas are recognized and rewarded
 - Norms: Commitment to ensuring faculty workload is fair and systems in place that reinforce these norms

- Context: Acknowledgement that different faculty members have different strengths, interests, and demands that shape their workloads and offer workload flexibility to recognize this context
- Accountability: Mechanisms in place to ensure that faculty members fulfill their work obligations and receive credit for their labor

Recommendations

- Ensure adequate feedback from faculty before implementation of institutional workload policies. Institutional policies should be faculty driven with processes for review.
- Charge institutions with managing productivity with resources and to develop clear workload guidance that is mission-driven and fiscally supported.
- Outline responsibilities and accountability for various roles within the institution (chancellor, provost, deans, department chairs/heads, and individual faculty members).
- Require a clear and robust process for annual faculty work plans linked to workload and annual evaluations based on those plans. There should be alignment with promotion and tenure expectations.
- Recognize diversity and variability of faculty work and develop workload policies that are flexible enough to meet the needs of the department, school, university, and individual faculty member.
- Maintain positive language (value, recognition, etc.) and avoid workload materials sounding punitive or critical.
- Enable individual campuses to develop policies that are in alignment with both the System policy and their own institutional missions.
- Establish a process and norms for differences in normal workload responsibilities and expectations that account for other activities such as research activity, department, university, or professional administration, other special assignments, etc. Processes to review and approve variation in responsibilities should be formalized, clearly communicated, with a process for appeal. Some objectives to consider are ensuring equity and transparency, operating with shared governance, and upholding fiscal stewardship of state and student dollars.
- Develop a comprehensive definition of workload. It should be as broad and inclusive as possible to ensure all faculty members can identify with it. The different time intensities required for different types of work should be acknowledged.
- Make sure the purpose of the policy is clear.
- Acknowledge the contributions of faculty not only to their institutions and students but to their communities, the state, and wider academic discipline.
- Demonstrate rigor that all faculty members have a full workload and ensure faculty are getting commensurate 'credit' for the effort they put forth.
- Many faculty responsibilities can be broadly categorized into teaching, research, and service. At the System level, aggregate time allocations provide an overview of faculty work and institutional priorities. Institutions should have reporting processes for faculty work that provide

both accountability and flexibility. Many faculty responsibilities are difficult, if not impossible, to measure.

- Establish expectations for how institutions will monitor and report on workload.
- This policy should be consistent with the policies put forth by other faculty policy committees including those addressing Post-Tenure Review and Professional Track Faculty.

Policy Update

The UNC System Office submitted a proposal to the Board of Governors at their May 24, 2023, meeting to supersede Section 400.3.4 of the UNC Policy Manual, *Policy on Monitoring Faculty Workloads*. The Board of Governors approved the new policy at the Board meeting on July 19, 2023:

<https://www.northcarolina.edu/apps/policy/doc.php?type=pdf&id=185>.

Policy Improvements:

- Allows for the flexibility to consider individual faculty workloads rather than institutional averages.
- No longer relies on Delaware Study data which had several limitations (time lag, exclusive focus on fall terms, limited to organized course sections, represents a decreasing number of institutions).
- Removes institutional Carnegie Classification as a determinant of individual faculty workloads.
- Considers the entirety of a faculty member's workload, not just their teaching responsibilities.
- Emphasizes accountability by requiring annual work plans and evaluations.
- Clarifies the responsibilities and authorities of boards of trustees, chancellors, and provosts, deans and department heads, and individual faculty members.
- Charges institutions with developing policies that are consistent with the System policy that also consider their individual missions and circumstances and to have processes for feedback and review.

Concluding Thoughts

The proposed policy recognizes the contributions of individual faculty members, and ensures rigor of their workloads, while allowing institutions the flexibility to responsibly manage workloads in a way that aligns with the needs of the university, colleges, departments, and individual faculty members. Further guidance will be needed to assist institutions in writing and implementing policies that align with the System policy.

Additional Resources

American Council on Education, *Equity-Minded Faculty Workloads: What We Can and Should Do Now*:

<https://www.acenet.edu/Documents/Equity-Minded-Faculty-Workloads.pdf>

The Faculty Workload Committee also examined the faculty workload policies of other state systems:

University of Maryland System:

- Charges each institution with developing a faculty workload policy and reporting the data to the System Office annually.
- Identifies student success as the primary objective of institutional policies.
- *Policy on Faculty Workload and Responsibilities:*
<https://www.usmd.edu/regents/bylaws/SectionII/II-1.25.pdf>

University of Texas System:

- Each academic institution develops a workload policy designed to achieve two main goals: fostering student success and advancing each institution's unique mission.
- The System Office must approve each institutional plan.
- *Guidelines for the Development and Approval of Institutional Faculty Workload and Reporting Policies:*
<https://www.utsystem.edu/sites/default/files/offices/academic-affairs/UTS%20Workload%20Guidelines%20FINAL%2011-9-2017.pdf>

University of Wisconsin System:

- The System charges the chancellors with developing workload policies:
<https://www.wisconsin.edu/regents/policies/teaching-workload-policy/>
- The System maintains an *Accountability Dashboard*:
<https://www.wisconsin.edu/accountability/faculty-and-staff/>

Appendix E

Post-Tenure Review Committee Report

The Post-Tenure Review Committee reviewed Section 400.3.3 of the UNC Policy Manual, *Performance Review of Tenured Faculty*, and Section 400.4.4.1[G] of the UNC Policy Manual, *Guidelines on Performance Review of Tenured Faculty*, examined post-tenure review policies of peer institutions and systems, and provided the following evaluation and recommendations.

Principle 1: Institutions must ensure a rigorous post-tenure review (PTR) process

Due to the UNC System constituent institutions' diversity, a paramount consideration for altering any policy includes retaining institutional flexibility. "Rigor" must be defined by each institution and aligned with System Office policies. The committee suggests each campus clearly define the expectations in the areas of Teaching, Scholarship, and Service and provide faculty members with guidance as to what constitutes "exceeds expectations, meets expectations, and does not meet expectations." UNC System Office oversight will ensure consistency across institutions.

The committee agreed that the current review cycle of at least every five years is appropriate; see Policy 4003.3.3, Section 1.c: *For each tenured faculty member, a cumulative review shall take place no less frequently than every five years. A review undertaken to grant tenure or to decide on promotion qualifies as such a cumulative review.* This timeframe allows for longer-term projects, such as books/monographs, which have a longer lead-time to result in publication.

The policy should also retain the option for individual institutions to add more frequent reviews or gateways. Annual review processes need to closely align with the PTR, to ensure departments/institutions keep faculty fully informed about their performance leading up to PTR. The annual review process should include formative and summative statements regarding progress toward PTR (or next personnel action) in the written annual evaluation.

Although each institution has the autonomy to design the PTR application, adding a requirement to include a self-evaluation component (to be defined by individual institutions) may provide an important data point in the review.

The committee asserts the importance of the institutional appeals process to clearly define their policy and procedures in the event of a "does not meet" evaluation. Any changes should retain the ability for a faculty member to respond to the PTR. Additionally, institutions may want to consider ways to involve external faculty with expertise in the candidate's field if such expert exists at the institution--particularly in cases of appeal of a PRT finding/outcome.

Principle 2: Condensed training is needed for evaluators of PTR applications

See Policy 4003.3.3, Section 3: *That the president of the University will adopt guidelines that include training and process requirements and provide for periodic reviews to ensure compliance with this policy and the guidelines; and*

Policy Guidelines (400.3.3.1[G]), Section 9: *Institutions shall provide ongoing support and training for all post-tenure review evaluators, including peer review committee members, department chairs or academic unit heads, and deans. UNC General Administration will prepare digital training modules that focus on the basics of state personnel policy and UNC policies, regulations, and guidelines related to personnel and tenure; the essential elements of a useful and thoughtful review; how to prepare, conduct and manage a meaningful review process; and how to provide constructive criticism in a positive manner. Campuses shall ensure that all post-tenure review evaluators benefit from these modules and receive training in campus-specific policies and procedures. In submitting required annual post-tenure review reports, the provost will also certify that required training has been conducted.*

The committee agreed on the value of mandating training, at least for the chair of the PTR committee, who is responsible for ensuring compliance with policies and process. The System Office currently offers a training video that is about one hour in length. The committee recommends a short 10–15-minute video, or perhaps two short videos that total no more than 30 minutes. The longer the video(s) are, the less likely faculty evaluators are to complete it. The committee appreciates that the video is posted on the System Office website for easy access and can be completed asynchronously online.

Additionally, the committee suggests a change in the policy regarding oversight of training. Guidelines currently indicate in section 9 that the provost will certify that the required training has been conducted. However, the committee asserts such training oversight should reside at the college/school/departmental level, instead of the provost's office.

Other helpful suggestions for institutions include:

- Developing a university website that links to the condensed training video, contains a list of FAQs, outlines roles and responsibilities, and provides online resources for those serving as evaluators (see, for example, [NC State University](#)).
- Using established committees such as the Promotion and Tenure Committees to conduct the reviews. Trainings can be combined.

Principle 3: The “rewards and recognition” aspect of the current policy has not been adequately implemented

See Policy 4003.3.3, Section 1.a.: *The purpose of the review shall be to support and encourage excellence among tenured faculty by: Recognizing and rewarding exemplary faculty performance (performance that exceeds expectations).*

Overall, the committee expressed frustration that, while institutions have closely followed the policies surrounding a “does not meet expectations” rating, challenges remain in the areas of rewarding faculty who exceed expectations. Neither the System nor the constituent institutions currently have specific or consistent external incentive for faculty to “exceed expectations.” Thus, the committee recommends additional funding provided to institutions for recognition of high-performing post-tenured faculty. The highest form of reward and recognition would include salary increases and would serve to retain excellent faculty. Salary increases could take the form of:

- a) Market-based salary adjustments (merit-to-market),
- b) Stipends, and/or
- c) Percentage increases.

Salary adjustments would increase faculty retention and reduce the number of talented faculty who leave the state or institution, as they seek to increase their salary or reach market value. Likewise, these measures would reduce salary compression and inversion issues, and, as the institutions introduce these incentivized measures, the committee expects faculty morale likely would increase the desire to excel post-tenure.

Undoubtedly, for these changes to be effective, institutions must clearly define the expectations and outline a distinct reward structure. The institutions and/or System may need to set limitations on either the total sum of money provided to an institution, or the number or percentage of faculty who earn such rewards--perhaps based on historical averages per institution.

Many institutions have found creative ways to recognize high-performing faculty. These recognitions vary significantly according to the financial means of the institution, so the committee encourages the System Office to find ways to contribute to this recognition. For example, the System Office could issue press releases in recognition of these excellent faculty and could feature them on their website.

The committee would also like to acknowledge that as important as it is to recognize and reward faculty for their excellent work, it also shares concerns that some faculty groups are less likely to be rated as “exceeds” because of external factors, such as gender and race bias. We want to be cognizant of the current body of literature that points to such inequities and ensure that any reward structure does not simply perpetuate this cycle and exacerbate existing pay gaps.

Principle 4: For faculty members who fail to meet expectations, a clear, individualized plan for improvement with a timetable for implementation is appropriate

See Policy 4003.3.3, Section 1.i. *While constituent institutions may wish to consider individual development or career plans for all faculty as a part of the review system, each performance review system must require such a plan for each faculty member who does not meet expectations in the cumulative review. These individual development or career plans must include specific steps designed to*

lead to improvement, a specified timeline in which improvement is expected to occur, and a clear statement of consequences should improvement not occur within the designated timeline.

The committee emphasizes the small percentage of faculty who comprise this category. More attention needs to be given to faculty who meet and exceed expectations, as they are the overwhelming majority. A change in focus would contribute to better morale and, ultimately, retention.

- All improvement plans should show close alignment to the annual performance reviews. Annual reviews should encourage course correction so that almost all faculty may meet or exceed expectations by their mandatory PTR.
- The committee notes that while some see it as unrealistic or even problematic when institutions report very low (or no) instances of “does not meet expectations” ratings, the low numbers may result from institutions’ providing effective interventions early in the five-year review process.
- Some committee members emphasized the natural “weed out” process that contributes to the overwhelming success rate of candidates undergoing PTR. By the PTR date, candidates have completed a terminal degree, demonstrated a record of accomplishment in teaching, research, and service, and have been tenured and promoted (some twice) by their peers and academic leaders. Consequently, one might expect a low percentage of “does not meet expectations.”
- Empowerment of the dean, chair, and faculty member to redefine workload distribution related to percentage allocation of teaching, research, and service duties in ways that support the institutional mission, benefit the university, and leverage faculty expertise, as opposed to a singular focus on punitive responses to the faculty member. Moreover, the process can be an effective method to reward high performing faculty.

The committee recognizes that improvement plans need to be individualized to address specific areas to be remediated and in realistic timeframes. For example, a faculty member may be able to improve problematic teaching practices more quickly than publish additional research. Also, the committee recommends an addition to the notification procedures. Deans should be notified and informed as to the progress of those faculty who are undergoing improvement plans.

Currently policy allows for modification of duties, and the committee encourages campuses to make these adjustments in workload when it also benefits the institution. For example, if a faculty member demonstrates strengths in teaching, perhaps the workload could be altered to include more teaching and less research.

- An essential aspect of the current policy is in allowing the institutions to redefine faculty positions in ways that support the institutional mission and benefit the university, while not being punitive to the faculty member.
- The committee believes any policy revisions should ensure that institutions could impose severe sanctions only after a defined period of time, and such implementation must protect ideals of due process.

Concluding Thoughts

The committee fully supports the use of the Post-Tenure Review process. The policy and procedural revisions recommended in this report will fundamentally assist in revitalizing the PTR process as an important tool for improving performance and increasing accountability. The annual performance evaluation is an essential element and must explicitly link to the PTR. Adhering to the major principles as outlined in this report will promote consistency in implementation and administration.

Faculty whose performance “does not meet expectations” must be provided with developmental feedback and a clear plan for improvement and consequences, while also being ensured due process. Faculty who “meet expectations” must be afforded continued professional development. The use of PTR as a retention tool has been underutilized. Faculty who “exceed expectations” should be recognized and rewarded for their high performance, and a reward structure will motivate and incentivize faculty.

Finally, the committee recommends a systematic investigation of the potential cost-savings for retaining existing faculty members, as opposed to the expense and disruption of conducting faculty searches and orienting new faculty members to the university.

Appendix F

Professional Track Faculty Committee Report

The Professional Track Faculty Committee was charged with developing recommendations for Systemwide policies that recognize and govern employment of faculty in fixed-term appointments (i.e., faculty not tenured or on tenure track, referred to as “professional track faculty” for purposes of the UNC Faculty Policy Initiative).

Rationale

Faculty members are the most important determinant of the quality and success of an institution of higher education because teaching and learning constitute the primary service that the University renders to the state and society. In the UNC System, faculty members are highly skilled professionals chosen through a rigorous process and are expected to make on-going, positive contributions to the mission of the University. However, the language of *The Code*, which guides policies and processes at the constituent institutions regarding faculty employment, currently does not define faculty accurately or ensure appropriate recognition, equitable employment provisions, and a fair work environment for all faculty members.

The committee’s recommendations seek to rectify these shortcomings. Given that “Special Faculty” (See, *The Code*, Sec. 610) represents the largest faculty employment group in the UNC System, this work is long overdue. Moreover, the professionalization of all faculty roles will benefit the constituent institutions as they seek to recruit and retain high achieving faculty members, and thereby ensure student success by consistently providing for outstanding teaching, research, and service.

Subcommittees

The committee formed three subcommittees:

1. **Definition:** This subcommittee examined the definition of “professional track faculty” with the goal of developing a framework for defining and referring to faculty not tenured or on a tenure track.
2. **Conditions of Employment:** This subcommittee examined Systemwide standards governing the terms and conditions of employment of professional track faculty, including timeframes and notice for appointment, reappointment, and promotion as well as non-renewal of appointments; career progression; academic freedom protections; access to employment dispute procedures; and compensation.
3. **Work Environment:** This subcommittee examined Systemwide standards governing the work environment of professional track faculty including workload; evaluation and promotion criteria; eligibility for awards and other special recognition; eligibility for participation in faculty governance; and professional development.

Summary of Recommendations

The committee determined that the most productive path forward to meet its charge was to draft recommended policy language amending Chapter VI of *The Code* and identify additional

recommendations to be included either in future policy changes or accompanying regulations. Section II of this report provides the committee’s recommended amendments to Chapter VI of *The Code*. Section III of this report provides additional policy recommendations to be considered for inclusion in either future policy amendments or regulations.

In developing its recommendations, the committee strove to achieve balance between establishing Systemwide standards and allowing appropriate flexibility for constituent institutions to adopt policies tailored to fit the unique mission, culture, and circumstances of each institution.

The committee’s recommendations seek to actualize the following three goals:

1. **Accurately reflect the composition of the faculty in the policy language about faculty.** Given the importance of faculty members to the mission and success of UNC System institutions, the committee recommends that the concept of “faculty” within *The Code* be defined to reflect accurately all faculty.
2. **Ensure equitable employment conditions for all paid faculty.** Given that the provisions within Chapter VI of *The Code* shape how constituent institutions develop policies and regulations governing employment conditions of faculty such as appointments, reappointments, promotion, workload, career progression, compensation, separation from employment, and access to processes for fair consideration of employment disputes, and that these issues are core to ensuring equitable employment conditions, the committee recommends language that directs campuses to ensure their policies and regulations on these key issues extend equally, as appropriate, to all paid faculty.
3. **Accord all paid faculty the opportunity to participate fully in and enjoy the benefits of the faculty role.** Given that being a faculty member entails more than teaching (while still recognizing that teaching is the University’s primary mission), the committee recommends adopting provisions in *The Code* making clear that paid faculty be eligible, as appropriate, to participate in faculty governance matters, to benefit from professional development programs and career advancement, and to earn faculty awards and recognition.

Policy Recommendations¹

CHAPTER VI. ACADEMIC FREEDOM, FACULTY EMPLOYMENT, FACULTY RIGHTS, AND STUDENT DISCIPLINE

SECTION 600. ACADEMIC FREEDOM AND RESPONSIBILITY IN THE UNIVERSITY COMMUNITY.

- (1) The University of North Carolina System is dedicated to the transmission and advancement of knowledge and understanding. Academic freedom is essential to the achievement of these purposes. It is the policy of the University of North Carolina System to support and encourage full freedom, within the law, of inquiry, discourse, teaching, research, and publication for all members of the academic staffs of the constituent institutions. The

¹ The Committee’s proposed policy recommendations are based on Chapter VI of *The Code* in effect prior to amendments approved by the UNC Board of Governors on May 25, 2023.

University therefore supports and encourages freedom of inquiry for all 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.

(2) The University and each constituent institution shall protect all faculty and students in their responsible exercise of the freedom to teach, to learn, and otherwise to seek and speak the truth. The University and its constituent institutions shall not penalize or discipline members of its faculties because of the exercise of academic freedom in the lawful pursuit of their respective areas of scholarly and professional interest and responsibility.

(3) Faculty and students of the University of North Carolina System shall 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. All members of the faculty are expected to recognize that accuracy, forthrightness, and dignity befit their association with the University and their position as faculty members. They should not represent themselves, without authorization, as spokespersons for the University of North Carolina System or any of its constituent institutions.

SECTION 601. FACULTY IN THE UNC SYSTEM.

(1) The faculty are the most important determinant of the quality and success of an institution of higher education because teaching and learning constitute the primary service that the University renders to society. Faculty members in the UNC System are chosen through a rigorous process and expected to make on-going, positive contributions to the mission of the University. Recruiting and retaining high achieving faculty members ensures the success of the University's students by consistently providing for outstanding teaching and mentoring. The faculty further generate valuable research, scholarship, and creative activities, while also serving the public and the professions represented by the institution.

(2) The policies and regulations of all constituent institutions shall promote and protect the academic freedom and stability of the faculty and ensure fair and equitable terms and conditions of appointment and employment of all faculty.

(3) Paid appointments in the UNC System are based on professional competence, demonstrated at hire and in regular evaluations, as well as institutional needs and resources. The following definitions shall apply to paid faculty appointments:

- (a) **Tenured** designates a permanent faculty appointment with a career progression.
- (b) **Continuing** designates a renewable faculty appointment with a career progression.
- (c) **Temporary** designates faculty appointments of no more than one year designed to meet short-term, non-recurring faculty needs, such as leave replacements and

visiting scholars. These appointments shall not be extended beyond two successive years.

(4) There shall be two categories of paid faculty appointments:

(a) **Full-Time Faculty** appointments are at least .75FTE, benefitted faculty positions and may be tenured, continuing, or temporary appointments.

(b) **Part-Time Faculty** appointments are less than .75 FTE faculty positions and may be continuing or temporary appointments.

Any appointment for a faculty member 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 shall be contingent upon the continuing availability of such funds.

SECTION 602. POLICIES AND REGULATIONS ON ACADEMIC EMPLOYMENT

(1) Policy Development and Adoption. The board of trustees of each constituent institution shall adopt policies and regulations governing appointment, contract, and promotion for all faculty consistent with this Chapter. These policies shall be effective upon review by the senior vice president for academic affairs and general counsel, and approval of the president. The constituent institution's chief academic officer, however titled, shall review the institution's faculty appointment, contract, and promotion policies periodically, but at least every five years, and shall report to the senior vice president for academic affairs whether amendments or revisions are appropriate. The chief academic officer shall involve the faculty in this review.

(2) Conditions of Appointment and Employment. The appointment, contract, and promotion policies and regulations of each constituent institution shall:

(a) Create a nomenclature for faculty titles and ranks appropriate to the institution.

(b) Require chief academic officers establish parameters to determine what type of appointment shall be made prior to the initiation of a faculty hiring process.

(c) Require that criteria for fair apportionment of workload in teaching, research, and service shall be established, based on the faculty member's appointment type and contributions to the institution and academic discipline.

(d) Require that faculty members with tenured and continuing appointments be hired through regular university procedures governing faculty hires and indicate that faculty members with temporary appointments should be hired through regular university procedures governing faculty hires whenever feasible.

(e) Set forth the general qualifications and considerations upon which all appointments are to be recommended, including at least an assessment of the faculty member's demonstrated professional competence as well as institutional needs and resources.

(f) For tenured and continuing faculty, provide career progression pathways with clearly defined intervals for evaluation, reappointment consideration, and eligibility to apply for promotion.

(g) Clearly define the minimum periods of appointment for all continuing faculty.

(h) Clearly define fair compensation floors for all faculty.

- (i) Establish procedures by which a faculty member in a continuing appointment may request and be approved for a modification in appointment type.
 - (j) Require that the terms and conditions of employment as a faculty member be included in the initial letter of appointment and all subsequent letters of reappointment or promotion, including links to all relevant university policies, regulations, and processes as well as a link to the complete text of Chapter VI of *The Code*.
 - (k) Provide that notice of reappointment, nonrenewal of appointment, or changes to terms and conditions of appointment shall be made prior to the expiration of the current term of appointment consistent with the notice provisions in Section 604.
- (3) Conferral of Tenure. The institutional appointment, contract, and promotion policies and regulations shall specify that permanent tenure may be conferred only by action of the president and the Board of Governors, or by such other agencies or officers as may be delegated such authority by the Board of Governors.
- (4) Separation from Employment.
 - (a) The institutional appointment, contract, and promotion policies and regulations shall specify that all paid faculty members:
 - (i) shall not be separated from the university for disciplinary reasons, demoted, or suspended without pay except 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. All paid faculty members are entitled to request a hearing as specified in Section 603 of *The Code*.
 - (ii) shall be afforded the right to request a review of decisions not to reappoint or to promote a faculty member in accordance with Section 604 of *The Code*.
 - (iii) may grieve matters directly related to the terms and conditions of that faculty member's employment under the provisions of Section 607 of *The Code*.
 - (b) The institutional appointment, contract, and promotion policies and regulations shall specify that all faculty members with tenured or continuing appointments:
 - (i) may be separated from the university for non-disciplinary reasons only in accordance with the provisions of Section 603 of *The Code*.
 - (ii) may be terminated by the constituent institution because of (1) demonstrable, bona fide institutional financial exigency or (2) major curtailment or elimination of a teaching, research, or public-service program only in accordance with the provisions of Section 605 of *The Code*.
 - (iii) shall retire in accordance with provisions of Section 606 of *The Code*.
- (5) Participation in Academic and Institutional Affairs. The institutional appointment, contract, and promotion policies and regulations shall specify that:
 - (a) All paid faculty shall be eligible for faculty awards and recognition.
 - (b) The criteria for eligibility to participate in faculty elections, as well as to be elected or appointed to institutional faculty governance bodies, shall be the same for all continuing and tenured paid faculty.

- (c) The criteria for participation in academic unit meetings, academic unit committees, and eligibility to vote on matters in the academic unit to which the faculty member is assigned shall be the same for all full-time paid faculty, although participation in personnel considerations and eligibility to vote on personnel recommendations may include distinctions and exclusions based on appointment type, title, and rank.
- (d) All paid faculty shall have access to professional development programs and resources, as well as support for career advancement.

Additional Policy Recommendations for Further Consideration

The committee identified additional related policy matters for which it recommends further review and potential inclusion in either future amendments to *The Code* or the UNC Policy Manual or regulations issued by the president. Given the complex nature of these issues and the short timeframe for this working group, these matters could not be thoroughly resolved for this report. This further review will also need to account for the reports of other Faculty Policy Initiative committees which were not available at the time this report was compiled.

The committee further commends the working group model, which includes representation from UNC System personnel, relevant campus administrators, and faculty, for undertaking this effort.

A. Conforming Changes to Chapter VI of *The Code*.

As stated at the outset of this report, the committee recommends a comprehensive reconsideration of the term “faculty” within *The Code*. In light of this recommendation, the committee further recommends that a working group propose modifications of other sections of Chapter VI, including Sections 603 through 607 to:

- (1) clearly extend the employment protections contained in these sections to all faculty (as designated in proposed Section 602 (4) (a) and (b) above).
- (2) reflect the stated commitment in this report to promoting and protecting the academic freedom and stability of the faculty by ensuring fair and equitable terms and conditions of appointment and employment of all faculty.

Thus, for one example, the committee recommends adding to the impermissible bases in 604, that a decision not to reappoint, confer tenure, or recommend cannot be based on the faculty member’s exercise of academic freedom.

B. Compensation

The committee identified as a significant policy concern the levels of compensation of continuing faculty because those not on tenure track are often compensated at rates lower than their similarly situated peers even when performing comparable work. The committee recommends that the levels of compensation of all continuing faculty be fair and equitable regardless of appointment type. Given the complexities of faculty compensation levels across the UNC System and related UNC System policies, the committee recommends this issue be studied by the UNC System Office and addressed either by further policy amendment or regulation adopted by the president. The committee’s discussions of this important issue are embodied in the suggested language below and offered as a starting point for further discussions.

1. In order to recruit and retain outstanding faculty members, faculty salaries must compensate employees appropriately, encourage excellent performance, and maintain labor market competitiveness. Each constituent institution shall be committed to these principles and shall develop a formula based on appropriate peer institution data to determine a salary floor for all faculty contracts.
 - a. No salary for a full-time faculty member at that rank shall go below the established floor.
 - b. The formula must account for salary equity as determined by: (1) degree type and any other required certifications; (2) relevant experience, including years in service; (3) workload responsibilities. The formula may consider other factors relevant to recruiting and retaining employees (e.g. highly sought after specializations, cost-of-living in more expensive areas, etc.)
 - c. The formula shall be developed in consultation with campus faculty and must be submitted by the chief academic officer for approval to the senior vice president for academic affairs every five (5) years.
 - i. The approved formula must be updated in consultation with campus faculty with new data on an appropriate periodic basis.
 - ii. Institutions may petition the senior vice president for academic affairs to vary the formula for specific programs, schools, or colleges if there is a sound rationale for the variation.
2. Consideration of the upper range of salary within a given field or discipline shall be determined by the same factors, while also attending to issues of salary compression and equity within the academic unit.
3. Constituent institutions shall establish, in consultation with campus faculty, appropriate and equitable base salary increases for all faculty promotions which shall be separate from any across-the-board or merit base salary increases authorized by the General Assembly.

C. Reappointment Review and Career Progression

The committee identified as an important policy concern the lack of Systemwide standards by which continuing faculty who are not on tenure track are evaluated and afforded opportunities for career progression. The committee recognizes and supports the importance of annual evaluations of faculty performance and rigorous standards for reappointment and promotion to ensure all faculty are productively contributing to the mission of the University regardless of rank or appointment type. The committee also understands that two other UNC Faculty Policy Initiative committees are currently reviewing UNC System policies governing evaluation of teaching and post-tenure review. The committee recommends reviewing the recommendations of these committees to determine whether the proposals put forward will fairly and equitably apply to all continuing faculty regardless of appointment type. The committee's discussions on this important policy matter are embodied in the suggested language below and offered as a starting point for further discussions and inclusion in further policy amendments or a regulation issued by the president.

1. To encourage faculty excellence, faculty members are chosen through a rigorous process as well as evaluated annually. Tenured and continuing faculty are further comprehensively reviewed via

post-tenure review or at reappointment, as well as when being considered for promotion.

Reappointment consideration intervals shall be established to correspond to the principle that stability in the faculty benefits the institution, its students, and the public and maintaining that stability shall be a primary factor in both the appointment and reappointment of faculty.

2. Constituent institutions shall develop a continuing career progression for full-time, continuing faculty appointments with the possibility of the conferral of permanent tenure. The progression shall ensure that:
 - a. At least one, but no more than two, reappointment reviews occur prior to the consideration for permanent tenure;
 - b. The consideration for permanent tenure occurs no later than the sixth year of employment; and
 - c. The sequence for progression toward promotion and tenure and the policies and processes for that consideration are clear in the letter of appointment.
3. Constituent institutions shall develop a career progression ladder for continuing faculty appointments. The progression shall ensure that:
 - a. faculty members who have demonstrated professional competence continue in the position as long as the need for the position continues;
 - b. continuing appointments of one year are not offered after the first three years of employment;
 - c. no later than the fourth year of employment, permanent continuing appointments of at least three years are offered prior to any reappointment consideration;
 - d. after six years of employment, permanent continuing appointments of at least five years are offered prior to any reappointment consideration or the appointment may become eligible for tenure consistent with *The Code*, Section 602(2)(i);
 - e. faculty members may apply for promotion, but permanent continuing appointment does not require either applying for or receiving promotion; and
 - f. the sequence for progression and the policies and processes for reappointment consideration are clear in the letter of appointment.

Further Regulations

The committee recognizes that the suggested language for Section 602 of *The Code* is broad, and that further regulation may be necessary to guide campuses in enacting these regulations. The committee recommends careful crafting by a working group (as suggested above in III. A) of language for such regulations.

Background Information
“UNC Faculty Workload Policy” Presentation to the UNC Board of Governors Committee on
Educational Planning, Policies, and Programs
February 22, 2023



UNC Faculty Workload Policy

February 22, 2023
Committee on Educational Planning,
Policies, and Programs

Faculty Workload Objectives

- Universities and Systems adopt faculty workload standards to align the efforts of faculty with the strategic objectives of the institution by:
 - Managing resource allocation so that the **cost of production** has a balance of inputs (faculty salaries) and outputs (teaching, research, service)
 - Ensuring consistent and equitable **workload expectations** across individuals
- These objectives are accomplished through policy and management:
 - Policy: The standards adopted by boards and leadership
 - Management: How the policy is applied by deans and department chairs

Introduction and History

- The General Assembly first charged the Board of Governors with developing a Faculty Workload policy in the 1995 Session
- The Board adopted and developed the UNC Teaching Workload Reporting System—which was a manual process for tracking faculty activity (non-teaching activity converting to teaching equivalencies)
- This policy approach provided a robust framework for institutions to manage faculty workload, but did not provide robust cost of production comparisons



3

Expectations of the 1995 – 2001 Policy

- The President will receive an annual report from the Chancellor that will, among other things, identify the standard teaching load of each department on the campus and will explain those that are below the reference levels set forth above.
- The report will present data on faculty credit hour production by type of faculty and level of course and a count of faculty who taught more or less than the standard load for the department.
- For those teaching below the standard load, the reasons for the course reductions will be identified. The Chancellor's report will summarize the departmental reports without reproducing them.
- This strategy is designed to underscore the responsibility of department heads and deans for managing faculty workloads in general and not just faculty teaching loads.



4

Adoption of the Delaware Study and Current Policy

- The original teaching workload system provided a robust account of faculty activities but was very time consuming. In a 2011 report, the Pope Center (now Martin Center) noted:
 - *In the 1990s, the UNC system had a method for determining faculty workloads (not just teaching). It created “course equivalents” for various non-teaching activities, from “service to the public” to “externally funded research” to “reading to stay current in one’s field.”*
 - *But in 2001, the UNC system dropped it and shifted to a study conducted by the University of Delaware “because of the cumbersome nature,” according to UNC’s website.*
- Adopting the Delaware Study allowed for a more streamlined and consistent look at organized teaching loads and the cost of production



5

Overview of Current Policy

- Section 400.3.4 and 400.3.4[G] of the UNC Policy Manual defines the means and standards by which workload is managed
- Policy identifies the average number of organized courses a faculty member should teach in an academic year
- The course standards are broken out by Carnegie Classification:
 - Research I: 4 courses per year
 - Doctoral Universities I: 5 courses per year
 - Masters (Comprehensive) I: 6 courses per year
 - Baccalaureate (Liberal Arts) I: 8 courses per year
 - Baccalaureate (Liberal Arts) II: 8 courses per year



6

Overview of Current Policy

- The National Study of Instructional Costs & Productivity, commonly known as the Delaware Study, is used to track faculty teaching loads and direct instructional costs
- Institutions report data directly to Delaware, who tabulates and conducts the analysis
- Information is provided to the UNC System Office, who then assembles the final report



7

Current Policy and Information Provided

- The report includes information on organized course sections taught in the Fall Semester
- Provides average organized course sections taught in the Fall semester for tenure track/tenure faculty and all faculty
- Provides average student credit hours (SCH) generated, which is calculated by multiplying the number of students in a course by the number of credits hours of the course (e.g., 20 students in a 3 -credit hour course yields 60 SCH)
- Current policy was aligned with Board strategic objectives of the past 20 years—a time of substantial enrollment growth



8

Advantages to the Current Approach

- Teaching is the primary mission of the University, and the Delaware Study is focused exclusively on teaching
- Consistent look at teaching loads for organized courses across disparate institutions and departments
- Historical data—there is two decades worth of information that can be examined for longitudinal comparisons
- Delaware Study was built to assess costs of production—the study and data is very robust in that respect, and Delaware information undergirds the UNC Enrollment Funding Model



9

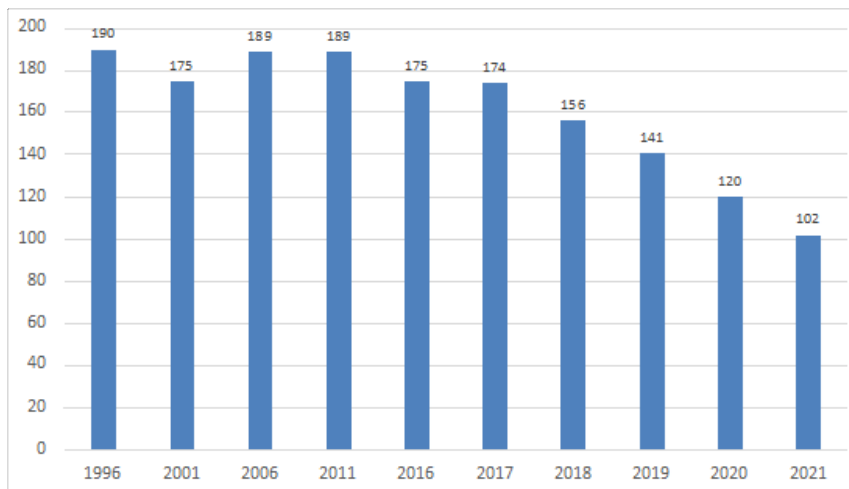
Limitations of the Current Approach

- Data is transmitted from the institutions to Delaware, and from Delaware to the UNC System Office—which results in a significant data lag; the 2022 Faculty Teaching Workload Report contained data only through 2019
- The Delaware Study is best used for evaluating and comparing cost of production—it is not intended to be used for the management of individual faculty workloads
- The report only includes data from the Fall Semester enrollment funding model now captures Summer courses (and has always included Spring)
- The Carnegie Classifications identified in the policy have changed dramatically over the past 20 years, as well as individual institutional focus
- National participation in the Delaware Study is declining



10

Delaware Study Participation Over Time



Participation in the Delaware Cost Study has declined precipitously since 2017

The reduced set has implications for data comparisons

Carnegie Classifications and Teaching Load

Campus	Research Doctoral Degrees	Professional Doctoral Degrees	Master's Degrees	Research Expenditures	Carnegie Classification	Teaching Load Standard
A	11	32	579	\$ 2,633,000		
B	13	0	704	\$ 3,268,000		
C	0	58	124	\$ 2,011,000		
D	19	0	164	\$ 4,695,000		
E	2	119	531	\$ 16,227,000		
F	24	14	883	\$ 17,515,000		
G	74	216	1,393	\$ 55,611,000		

Current policy pegs teaching loads for the entire university to Carnegie Classifications

Premise is more graduate education and research should result in a lower teaching load

Carnegie Classifications and Teaching Load

Campus	Research Doctoral Degrees	Professional Doctoral Degrees	Master's Degrees	Research Expenditures	Carnegie Classification	Teaching Load Standard
A	11	32	579	\$ 2,633,000	Doctoral/Prof	5
B	13	0	704	\$ 3,268,000	Master's	6
C	0	58	124	\$ 2,011,000	Doctoral/Prof	5
D	19	0	164	\$ 4,695,000	Master's	6
E	2	119	531	\$ 16,227,000	Master's	6
F	24	14	883	\$ 17,515,000	Research 2	5
G	74	216	1,393	\$ 55,611,000	Research 2	5

But Carnegie Classifications do not consider all aspects of institutional operations

Arbitrary cut points used by Carnegie have significant impacts on workload expectations for the entire faculty, regardless of their individual impact



13

Challenges Under the Current Policy

- Carnegie Classification Challenges:
 - **Meets standard:** A full professor at a Research I university teaches four courses per year, but is not meaningfully engaged in research or service activities
 - **Fails standard:** An assistant professor at a Baccalaureate college teaches seven courses per year, and directs a \$1 million dollar research grant
- Organized Course Section vs. Enrollment Challenges:
 - **Meets standard:** An associate professor at a Master's university teaches six courses with a total enrollment of 42 students (126 SCH)
 - **Fails standard:** An associate professor at a Master's university teaches five courses with a total enrollment of 126 students (378 SCH)



14

Peer System Approach

- University of Texas System
 - Each academic institution develops [a workload policy](#) designed to achieve two main goals: fostering greater student success while advancing each institution's unique mission
 - The policy must be approved by the System Office
- University System of Maryland
 - Charges individual institutions with developing [a faculty workload policy](#) and reporting data to the System Office annually
 - Identifies student success as the primary objective of institutional policies
- University of Wisconsin System
 - Institution chancellors are charged with developing [workload policies](#)
 - Data on teaching loads are displayed in the [UW Accountability Dashboard](#)



15

Recommended Approach for Working Group

- Policy should adhere to and implement prior action and recommendations taken by the Board and General Assembly
 - Teaching is the primary mission of the university
 - Student success is a primary strategic objective
 - Framework should address both cost management and individual workloads
- Institutions should have primary responsibility for the management and enforcement of faculty workload policies and decisions
 - Chancellors and provosts shall ensure robust campus framework for managing workload
 - Boards of Trustees should provide oversight to campus policy
- Board of Governors and UNC System Office should oversee data on costs of production that connect to the overall institutional financial position
 - Board should review institutional compliance with workload policies
 - Delaware data should be reviewed to determine if it still provides robust cost comparisons



16

QUESTIONS?

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17



UNC Faculty Policy Initiative Committee Report

September 13, 2023

Joint Meeting of the
Committee on University Personnel
and the
Committee on Educational Planning, Policies, and Programs

Introduction

- Faculty are at the core of the mission of the University of North Carolina, which is to “...discover, create, transmit, and apply knowledge to address the needs of individuals and society”
- Within that mission, teaching is identified as the primary responsibility of each of the constituent institutions
- When the UNC System was consolidated in 1972, one of the first activities the Board of Governors and constituent institutions undertook was the development of a framework for faculty employment
- This framework helped the UNC System achieve excellence and national recognition over its first fifty years

Why is this Important?

- The UNC System has not engaged in a holistic and meaningful look at faculty employment and evaluation structures in decades. The landscape for faculty employment has changed dramatically in recent years, and we need robust and nimble employment structures that are designed for the next 20 years, not the last 20 years. For example:
 - The faculty workload policy hasn't been reviewed in a decade
 - The overall tenure policy hasn't been reviewed in 30 years
 - *The Code* fails to account for any permanent faculty employment structure other than tenure
- It is critical that our faculty employment structures provide incentives and reward structures that provide faculty and institutions the opportunity to be as successful as possible

Working Areas and Workgroups

- A comprehensive examination of the policies and regulations that guide campus approach to faculty employment, including:
 - Faculty Retirement Incentive Program
 - Faculty Workload
 - Post-Tenure Review
 - Development of Teaching / Professional Faculty Track
 - Evaluation of Teaching
 - Faculty Recognition
- Workgroups: Each workgroup has representatives nominated by campus provosts and faculty senates/councils

Faculty Policies Review and Initiatives

- Examine all faculty policies for relevance and applicability to UNC System in the modern era
- Engage campus stakeholders to be a part of the process
 - All 17 institutions represented
 - Each committee has a provost representative
 - Balance of faculty representatives, campus administrators, and System Office staff
 - Faculty Assembly Chair tries to attend every committee meeting
- Six committees working on:
 - Faculty Retirement Incentive Program (FRIP) *Toby King, UNC Asheville*
 - Faculty Workload: *Diane Marian, UNC System Office*
 - Awards and Recognition: *Billy Ogletree, Western Carolina University*
 - Evaluation of Teaching: *Bethany Meighen, UNC System Office*
 - Post-Tenure Review: *Carol McNulty, UNC Wilmington*
 - Teaching/Professional Track Faculty: *Norma Houston, UNC System Office*

Steering Committee

- Coordinates between topical committees and integrates committee inputs where policies intersect
- Committee members:
 - David English, UNC System (*co-chair*)
 - Wade Maki, UNC Faculty Assembly Chair and UNC Greensboro Faculty (*co-chair*)
 - Michael Delafield, UNC System Office
 - Jack Monell, Winston-Salem State University
 - Rondall Rice, UNC System Office
 - Farrah Ward, Elizabeth City State University
 - Crystal Woods, Staff Assembly Chair and NCSSM
- All committee chairs attend Steering Committee meetings

Faculty Retirement Incentive Program (FRIP)

Chair: Toby King, UNC Asheville

Problem:

- Personnel costs represent the largest financial outlay for UNC System constituent institutions, with outlays for tenured faculty representing the largest ongoing financial obligation
- Tenure appointments made 20, 30, or 40 years ago may not align with the enrollment demands and university needs of today
- Faculty may want to pursue retirement, but may have immediate financial limitations on their ability to do so

Faculty Retirement Incentive Program (FRIP)

Chair: Toby King, UNC Asheville

Proposed Policy Solution:

- UNC System is seeking legislative authorization to create a Faculty Retirement Incentive Program (FRIP)
- This is a tool commonly used in the private sector to manage employee headcount and expenses, and has become more common in higher education
 - The university benefits from being able to strategically reallocate resources in alignment with current priorities
 - The faculty member receives an additional retirement benefit
- Incentive Fund Request
 - UNC System is requesting \$16,800,000 in non-recurring funds from the General Assembly to help launch the program (Included in Senate Budget)
 - These one-time funds would be used to assist the constituent institutions in identifying a sufficient pool of faculty to make a meaningful impact
 - Priority would be given to ECU, NCCU, UNCA, UNCG, and WSSU

Faculty Retirement Incentive Program (FRIP)

Chair: Toby King, UNC Asheville

Proposed Policy Solution:

- Implementation
 - Specific to each institution, but with universal availability
 - Collaborative, between the administration, dept chairs, faculty, and HR
 - Incentive funds would be prioritized at five institutions with long-term enrollment challenges
- Eligibility
 - Voluntary, application-based processes
 - Minimum 10 years of continuous service and at least 55 years of age
 - Use an institution-specific process to assess applications
- Reallocation
 - Provosts responsible for reallocations in consultation with university leadership
 - Ensures administrative flexibility
 - Assume a 20% take rate based on other university experiences

Faculty Retirement Incentive Program (FRIP)

- Toby King (Chair), Associate Professor of Music, UNC Asheville
- Carol Cain, Associate Professor of Accounting, Winston-Salem State University
- Robin Coger, Provost and Senior Vice Chancellor for Academic Affairs, East Carolina University
- Joseph Graves, Professor of Biological Sciences, North Carolina Agricultural and Technical State University
- Nicole Lucas, Associate Vice Chancellor for Institutional Effectiveness, Research, and Planning, Fayetteville State University
- Dianne Welsh, Hayes Distinguished Professor of Entrepreneurship, UNC Greensboro

Post-Tenure Review

Chair: Carol McNulty, UNC Wilmington

Problems:

- Current PTR approach does not identify or reward outstanding faculty
- The annual review process does not serve as a core and consistent building block of PTR
- PTR does not help to ensure fair workloads and standards of productivity
- The wide discrepancy in review practices and rigor across campuses and departments is a source of tension among faculty, and it feeds a concern about equity in workloads and career opportunities

Post-Tenure Review

Chair: Carol McNulty, UNC Wilmington

Proposed Policy Solutions:

- Ensure rigor while providing flexibility for each institution to
 - Clearly define expectations for teaching, scholarship, and service
 - Explicitly delineate the ratings of "Exceeds, Meets, and Does Not Meet Expectations"
 - Clearly outline policies and procedures for cases of "Does Not Meet Expectations"
- Better implement mechanisms to consistently evaluate performance
 - Ensure that "sticks" are used consistently across and within institutions
 - Develop and implement consistent "carrots" that recognize and reward performance
 - Increased rewards/recognition will help with retention
 - Identify individuals who could be considered for Faculty Award or Recognition
- Process
 - Five-year review cycle seems appropriate and consistent with other institutions/systems
 - **Demonstrate clear alignment between annual review process and PTR**
 - Recommend adding a self-evaluation component to the requirements
 - Recommend a short training video for evaluators
 - Change policy to reflect dept heads (not provosts) ensure evaluators receive training

Post-Tenure Review Committee

- Carol McNulty (Chair), Associate Provost for Undergraduate Education and Faculty Affairs, UNC Wilmington
- Leigh Cellucci, Associate Dean for Academic Affairs, College of Allied Health Sciences, East Carolina University
- Sarah Daynes, Professor and Director of Graduate Studies, UNC Greensboro
- Kimberly Grainger, Associate Vice Provost for Academic Personnel and Policy, NC State University
- Tonya Smith-Jackson, Provost and Executive Vice Chancellor for Academic Affairs, North Carolina A&T State University
- Jim Westerman, James E. Holshouser Distinguished Professor in Ethics, Appalachian State University
- Erin White, Associate Dean, Lloyd College of Health, Science, and Technology, Fayetteville State University

Teaching/Professional Track Faculty

Chair: Norma Houston, UNC System

Problems:

- *The Code* and Policy Manual are silent on full-time faculty outside of the tenure-track
- Conditions of employment, work environment, and position definitions are highly variable across institutions
- These faculty are critical to our academic programs and teach a significant portion of our undergraduate courses
- Lack of predictability and consistency for faculty can negatively impact students' educational experiences

Teaching/Professional Track Faculty

Chair: Norma Houston, UNC System

Proposed Policy Solutions:

- Definition
 - Terminology should define who faculty are, not by what they are not (i.e., "non-tenure track")
 - Definition should encompass the variety of roles faculty serve (teaching, research, service, clinical, administrative)
- Conditions of Employment
 - Conditions of employment should be equitable with those of tenure track/tenured faculty, including: career progression, notice of renewal/nonrenewal, evaluations, access to grievance processes
 - Balancing the need to set systemwide standards while maintaining flexibility for campus policies
 - Recommendations will include suggested provisions to incorporate into The Code and more specific details that could be implemented through regulation
- Work Environment
 - Faculty should enjoy same opportunities for leadership positions, awards and recognition, and academic freedom protections
 - Workloads should be equitable

Teaching/Professional Track Faculty Committee

- Norma Houston (Chair), Chief of Staff, UNC System Office
- Lisa Ellison, Teaching Instructor, Department of Foreign Languages and Literature, East Carolina University
- Karen Ford-Eickhoff, Clinical Professor of Management, Department of Management, UNC Charlotte
- Cam Enarson, Vice Dean for Strategic Initiatives, Professor Anesthesiology, School of Medicine, UNC-Chapel Hill
- Sandie Gravett, Professor of Religious Studies, Department of Philosophy and Religion, Appalachian State University
- Nathan Grove, President of Faculty Senate and Associate Professor of Chemistry, Department of Chemistry and Biochemistry, UNC Wilmington
- Viji Sathy, Associate Dean for Evaluation and Assessment, Undergraduate Education, College of Arts and Sciences and Professor of Practice, Department of Neuroscience and Psychology, UNC-Chapel Hill
- Patrick Sims, Provost and Executive Vice Chancellor, UNC School of the Arts
- Robin Snead, Lecturer, Department of English, Theater, and World Languages, UNC Pembroke

Evaluation of Teaching

Chair: Bethany Meighen, UNC System

Problems:

- Our knowledge of what constitutes good teaching has grown greatly in the 30 years since the policy framework was first authored
- We also have learned the various ways in which an individual's characteristics can influence their evaluation ratings
- Faculty deserve an evaluation process that is robust, consistent, equitable, and supported by sound research
- Students deserve a quality education, which is predicated upon good teaching

Evaluation of Teaching

Chair: Bethany Meighen, UNC System

Proposed Policy Solutions:

- Use multiple instruments to assess teaching, to include
 - Student feedback for instructors
 - Peer assessments
 - Instructor-generated teaching portfolios
 - Examining other aspects
- Revise policies and practices for teaching evaluations
 - Provide transparency on how they will be used
 - Ensure equitable and consistent data collection for evaluations
 - Build timetables for consistent, periodic intervals
 - Build and communicate best practices across institutions
- Interpretation and uses of teaching evaluation instruments
 - Train administrators to appropriately interpret results
 - Focus on using results to inform faculty development
 - **Encourage faculty to reflect on results as part of annual review processes**
 - Reward and acknowledge high-quality teaching

Evaluation of Teaching Committee

- Bethany Meighen (Chair), Vice President for Academic and Student Affairs, UNC System Office
- Christine Boone, Associate Professor of Music, UNC Asheville
- Sean Colbert-Lewis, Faculty Senate Chair and Associate Professor of History and Education, NC Central University
- Mehran Elahi, Professor of Technology, Elizabeth City State University
- Amy Harris Houk, Assistant Dean for Teaching and Learning, UNC Greensboro
- Renee Lamphere, Professor of Sociology and Criminal Justice, UNC Pembroke
- Janna Levin, Associate Professor of Liberal Arts, UNC School of the Arts
- Xiaoxia Newton, Associate Professor of Education, UNC Charlotte
- Cheryl Waters-Tormey, Associate Professor of Geology, Western Carolina University
- Jamie Winebrake, Provost and Vice Chancellor for Academic Affairs, UNC Wilmington

Awards and Recognition

Chair: Billy Ogletree, Western Carolina

Problems:

- The Board of Governors three faculty recognition programs - the Awards for Excellence in Teaching, the James E. Holshouser Award for Excellence in Public Service, and the Oliver Max Gardner Award - receive uneven participation across the 17 constituent institutions
- The award application processes is not clear, streamlined, and supported in a manner that makes broad participation likely
- Award criteria are not structured in a manner that invites submissions from a diverse group of applicants representing all UNC System universities
- Awards are not structured in a manner that encourages applications featuring innovative strategies to address current issues and challenges facing students and other UNC system stakeholders
- Faculty awards are not constructed in a manner that addresses UNC System strategic categories and recognizes those having significant impact on the UNC System's ability to serve the state of North Carolina

Awards and Recognition

Chair: Billy Ogletree, Western Carolina

Proposed Policy Solutions:

- Raise visibility of awards and ensure broad campus participation
 - Ensuring access by different disciplines and faculty backgrounds
 - Remove artificial requirements (e.g., tenure requirements for teaching awards)
 - Provide consistent support for applications
 - Align existing awards with changes in institutional focus and strategic objectives
 - Make applications process more consistent across institutions
- Foster innovation
 - Create a new award focused on innovative and integrated work
 - Connect the award to strategic plan and pillars
 - Consider team-based awards where appropriate

Awards and Recognition Committee

- Billy Ogletree (Chair), Catherine Brewer Smith Distinguished Professor of Communication Sciences and Disorders, Western Carolina University
- Anthony Artimisi, Chair, Department of Liberal Studies and Associate Professor of Music, Winston-Salem State University
- Gabriel DiMartino, Assistant Professor of Trumpet, East Carolina University
- Kuldip Kuwahara, Professor of Language and Literature, North Carolina Central University
- Jill Lane, Interim Director, Office for the Advancement of Teaching and Learning, UNC School of the Arts
- Katie O'Connor, Provost and Vice Chancellor for Academic Programs, NC School of Science and Mathematics

Faculty Workload

Chair: Diane Marian, UNC System Office

Problems:

- Previous policy only considered institutional averages – not individual contributions
- Did not address significant management responsibility for implementation
- Delaware Study data lags significantly, only captures the fall semester, is not intended to measure workload, and represents a decreasing number of institutions
- Tying individual workload expectations to institutional Carnegie Classifications creates perverse incentives
- No consideration of class size, SCH generation, or research productivity

Faculty Workload

Chair: Diane Marian, UNC System Office

Policy Solution:

- Clarified Responsibility and Authority
 - Explicitly include Boards of Trustees in the policy as having primary responsibility for campus oversight
 - Empower chancellors and provosts to develop a robust campus framework for managing workload
 - Charge deans and department heads with the primary responsibility of working with faculty in establishing workloads that support institutional and strategic objectives
- Centered student success, institutional mission, and budgetary realities
- Removed institutional Carnegie Classification as a determination of individual faculty members workload expectations
- Ensures all faculty have a rigorous annual workplan and evaluation process that captures all aspects of faculty work (teaching, research/creative activity, and service) and effort via time allocations with a clear 1.0 FTE expectation
- Captures and track management of workload through a standardized form first considered by the campus Board of Trustees and then sent to the UNC System Office and Board of Governors

Faculty Workload Committee

- Diane Marian (Chair), Vice President & Chief Data Officer, UNC System Office
- Mimi Chapman, Chair of the Faculty and Frank A. Daniels Distinguished Professor for Human Service Policy Information, UNC-Chapel Hill
- Susan Harden, Associate Professor of Education, UNC Charlotte
- Jeff Konz, Director of Institutional Research and Professor of Economics, UNC Asheville
- Chad Leslie, School of Design and Production, UNC School of the Arts
- Charles Maimone, Vice Chancellor for Finance and Administration, NC State University
- Meghan Millea, Professor of Economics, East Carolina University
- Carmen Monico, Associate Professor of Social Work, North Carolina A&T State University
- Debbie Storrs, Provost and Executive Vice Chancellor, UNC Greensboro

Timeline and Next Steps

- January: President Hans announces initiative
- February – May: Working groups develop proposals
- May – August: Final report compiled
- **September: Report presented to Ed Planning and Personnel**
- November – December: Revisions to *The Code* and Policy Manual will be adopted by the Board, regulations adopted by the president
- January – May: Campuses implement conforming changes to their institutional policies and procedures

QUESTIONS?

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