OP 4. Faculty Workload, Annual Reviews, Faculty Teaching Performance Indicators, Post-Tenure Review

OP 4.1 Faculty Professional Workload and Annual Evaluations. Because faculty workloads may be varied in the distribution of duties by academic discipline, accrediting standards, and missions of the department, unit, college, and university and because of the complexity of faculty work activities, individual faculty workloads are managed at the department level. Department chairs are required to hold at least one conference with every member of the department who is to continue as a member of the faculty for the next year to discuss the annual evaluation and create a work plan for the next academic year.

OP 4.1.1 Faculty Professional Workload Guidelines. The voting-eligible faculty of each department shall develop, in line with *UNC Policy Manual* 400.3.4 *Faculty Handbook* Section 2.6 through 2.10, and in consultation with the Dean and Department Chair, written workload guidelines. These guidelines shall be voted on by the voting-eligible faculty and shall be part of the department's foundational documents. These guidelines shall:

a. be consistent with the expectation that, in general, a 1.0 FTE appointment equates to a faculty teaching load of 24 credit hours (or equivalent contact hours) per academic year. Faculty members holding additional responsibilities for research/creative activities and service as identified in their annual work plan may have their teaching workload adjusted on a commensurate basis with approval of the Department Chair and Dean;
b. specifically outline any relevant course load equivalencies for lab, clinical, studio, oversized, distance, fully online or hybrid course.;
c. detail how other instructional efforts, such as developing courseware or other materials for technology-based instruction, supervising undergraduate research and masters' theses and doctoral dissertations, directing students in co-curricular activities, preparing and equipping new laboratories, supervision of teaching assistants, supervision of internships, academic advising, mentoring, and other activities that support student success, contribute to a faculty member's total workload;
d. designate the means and extent by which a faculty member's scholarship, research, and/or creative activity in that person's area of specialization, including (but not limited to), working in laboratories and studios, conducting empirical and/or theoretical research, engaging in development or translational work, and/or producing creative works such as articles, monographs, and grant proposals, editing scholarly journals, preparing juried art exhibits, directing centers and institutions, or performing in plays, concerts, or musical recitals, count toward the faculty member's total workload;
e. designate the means and extent by which a faculty member's service activities that enhance the scholarly life of the university or the discipline, improve the quality of life or society, promote the general welfare of the institution, professional and academic societies, the community, the state, the nation, or international community or a faculty member's administrative responsibilities, (including but not limited to, department chair, program director, and center director) contribute to a faculty member's total workload;
f. attend to workload equality among faculty.

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OP 4.1.2 Faculty Annual Workload Plan. Each faculty member shall work with their department chair or supervisor to develop a work plan for the upcoming academic year (July 1-June 30), in alignment with the institution's workload expectations and the needs of the academic department, college/school, or institution, in accordance with *Faculty Handbook* Section 2.6 through 2.10.

OP 4.1.2.1 Recording Annual Workload Plan. After reviewing the workload plan for the upcoming year with their Department Chair, each faculty member shall input their workload plan through the online submission form in Qualtrics by August 31th

OP 4.1.2.2 Calculating Percentages, Course Buyouts & Course Overloads. The standard distribution of effort for tenure-track faculty members each academic year is 60% teaching (10% per 3-hour course), with the remaining 40% allocated between research and service. The standard distribution effort for full time special faculty is 80% teaching and 20% service. A course buyout is equivalent to a shift of 10% effort. A course overload may or may not be reflected in a percentage shift but should articulated in comments section of the Workload Plan form. Calculations exclude summer efforts unless otherwise specified for faculty members with 10,11,or 12-month contracts.

OP 4.1.2.3 Mid Cycle Revisions. A faculty member with a qualifying circumstance outlined in the Faculty Handbook (see section 2.10.2) may revise their workload with approval of the Department Chair by January 31.

OP 4.1.2.4 Leave on Faculty Workload Plan. Any academic year during which a faculty member is on paid/unpaid family or medical leave (i) for more than twenty-five (25) class days of the academic year or (2) receives a total teaching load reduction of more than six (6) credit hours per semester, excluding buyouts, shall qualify for a mid-cycle revision to their workload plan (see OP 4.1.2.3) upon their return from leave. The faculty member may request in writing to their department chair that their workload plan remain the same.

OP 4.1.3 Faculty Annual Evaluation. During the spring term, each faculty member shall be evaluated for the calendar year in accordance with the applicable section of the *Faculty Handbook* (see sections 3.7 and 4.10). The Department Chair or unit supervisor shall provide a written review which shall discuss the faculty member's performance related to the elements included in the annual work plan and shall evaluate each element of the faculty member's performance as either meeting, not meeting or exceeding expectations in accordance with departmental standards as indicated in the foundational documents with specific reference to work done well and suggestions for improvement or constructive feedback regarding performance. The Department Chair shall also assess the faculty member's progress toward the next summative/comprehensive review.

OP 4.1.3.1 Faculty Response to the Annual Evaluation. All faculty members shall be entitled to respond to the Annual Evaluation in writing. That response must be within ten (10) calendar days of the spring conference. Any written response(s) shall be appended by the Department Chair to the Annual Evaluation as part of the permanent record.

OP 4.1.3.2 Leave on Annual Review. Any academic year during which a faculty member is on paid/unpaid family or medical leave (i) for more than twenty-five (25) class days of the academic year or (2) receives a

total teaching load reduction of more than six (6) credit hours per semester, excluding buyouts, an annual review shall not be completed for that year. A faculty member may request to bypass the annual review waiver and participate in an annual review for the year they received an unpaid or medical leave.

OP 4.1.4 Faculty Success Plans.

OP 4.1.4.1 FSP Imposition Criteria The following faculty members shall be placed on a Faculty Success Plan ("FSP"):

a. Any faculty member who receives a rating of "Does Not Meet Expectations" in any category on an annual evaluation; or

b. Any faculty member who receives an overall rating of "Does Not Meet Expectations" in a post-tenure review.

OP 4.1.4.2 FSP Development The Department Chair should develop the FSP in consultation with the faculty member. The FSP must be approved by the Dean before implementation, and the effective date of the FSP shall be the date of Dean approval.

OP 4.1.4.3 Timelines of FSPs. For FSPs arising from an annual evaluation, the duration shall be one year. For FSPs arising from a post-tenure review with an overall rating of "Does Not Meet Expectations," the duration shall be at least one year and may extend beyond one year, depending on the areas requiring improvement.

In all cases, required improvement activities must be reasonable, measurable, and achievable within the established timeframe.

OP 4.1.4.4 If a faculty member is placed on an FSP as part of an annual evaluation, the FSP shall be aligned with the faculty member's annual work plan. If a faculty member is placed on a FSP following a post-tenure review, the FSP shall be aligned with the faculty member's long-term work plan.

OP 4.1.4.5 Implementation of a FSP. Because the FSP is designed to be formative in nature and is intended to support faculty development and improvement, the Department Chair is encouraged to implement supportive measures including but not limited to:

a. Encourage peer mentoring as part of the FSP;

b. Meet with the faculty member no fewer than twice per year to assess progress;

c. Provide regular, constructive feedback regarding progress toward stated goals; and

d. Document progress toward completion of the FSP

OP 4.1.4.6 Adjustments to Duties and Responsibilities. As part of the FSP, the Department Chair, in consultation with the Dean, may adjust the faculty member's workload or distribution of responsibilities. Any such adjustments must be:

a. Non-punitive in nature;

b. Must be designed to support improved performance; and

c. Shall be reflected in the faculty member's annual and, where applicable, long-term work plans.

OP 4.1.4.7 Outcomes and Failures to Meet Expectations.

OP 4.4.6.1 If the faculty member does not achieve the required improvement within the FSP period, the University may take further action consistent with Chapter VI of *The Code of the University of North Carolina*, including the imposition of appropriate sanctions.

OP 4.1.4.8 If the faculty member does achieve the required improvement within the FSP period, the Department Chair shall draft a brief memo articulating the FSP completion and attach it to the Faculty Success Plan within 30 days of meeting with the faculty member. The faculty member's expectations shall return to standard workload following completion of the FSP unless otherwise specified.

OP 4.1.4.9 Maintenance and Oversight of FSP. While it is on-going, a copy of the faculty member's FSP shall be kept in the same file as the faculty member's Annual Workload Plan. Deans shall be responsible for tracking the successful completion and/or continual progress of FSPs in their college(s) of responsibility.

OP 4.1.4.10 Leave on Faculty Success Plans. Any academic year during which a faculty member is on paid/unpaid family or medical leave (i) for more than twenty-five (25) class days of the academic year or (2) receives a total teaching load reduction of more than six (6) credit hours per semester, excluding buyouts, shall result in an automatic renewal of the faculty success plan that was in place at the time the faculty member started their paid/unpaid family or medical leave. The renewal will include updated performance deadlines within ten (10) days of the last day of the paid/unpaid family or medical leave. The renewal may take into consideration completed goals towards the Faculty Success Plan.

OP 4.4.4.11 Right to Grieve FSPs. Consistent with The Code & UNC Policy Manual, a faculty member may choose to grieve violations of federal or state law, UNC Policy or Regulation, or constituent institution policy or regulation of the PTR process or Faculty Success Plan [FSP] and where the faculty member was negatively affected by such decision. This grievance must be filed in accordance with the provisions of Section 607 of The Code & The UNC Policy Manual. The faculty member shall not be required to adhere to the terms of any FSP, if a grievance has been timely filed and a Faculty Hearing Committee panel is in the process of determining if the grievance shall be heard, is hearing the grievance, or if all appellate processes are not completed [see OP 9, Faculty Employment Rights].

OP 4.1.5 Required Training. Department Chairs, Deans, and faculty subject to workload plan requirements shall be required to participate in annual training provided by Academic Affairs. This training shall include information related to the process for submitting annual workload plans and information about faculty success plans.

OP 4.2 Faculty Teaching Performance Indicators. Faculty with teaching responsibilities shall have their teaching performance reviewed annually by methods that include: (1) Student reviews of teaching conducted at regular intervals (at least one semester of each academic year), (2) Peer reviews of teaching including direct observation of the classroom and other relevant assessments. These assessments shall occur as designated by the *Faculty Handbook* sections 3.6 and 4.9 as well as relevant department policies.

OP 4.3 Post-Tenure Review (PTR)

OP 4.3.1 PTR and Tenured Academic Administrators. If a faculty member is reassigned to other duties (e.g., department chair or academic unit head) for .50 FTE or more, or is occupying a leave-earning position (e.g., SAAO Tier I, Tier II, or similar EPS appointment), that faculty member shall not be required to undergo post-tenure review until having completed a five-year cycle following the return to full-time faculty.

OP 4.3.2 PTR and Faculty on Leave. Any academic year during which a tenured faculty member is on unpaid professional leave or paid/unpaid medical or family leave for more than 25 class days of the academic calendar, or receives a total teaching-load reduction of more than six credit hours for medical or family reasons, will not count for the post-tenure review five-year cycle unless the faculty member requests in writing to the Department Chair that it be counted. Such a request must be made within one calendar year following the end of the leave or course-load reduction.

OP 4.3.3 PTR Committee Election and Training

OP 4.3.3.1 PTR Committee. Each Department shall have in its foundational documents a procedure for:

1. Election by the tenured faculty of a PTR Committee composed of at least three (3) tenured faculty to staggered, non-renewable (where possible), three (3) year terms.
    a. In the event that there are not three tenured faculty in the Department, the process shall indicate that tenured faculty make nominations and elect the necessary number of tenured faculty members from an allied discipline to serve on the PTR Committee. Faculty from allied disciplines will serve one (1) year terms.
2. A process for election of members to fill vacancies in the PTR.
3. A process for the appointment of a PTR Chair. That process may be election by the tenured faculty, election by members of the PTR Committee, or appointment by the Department Chair.
4. A process to ensure that all PTR considerations conform to OP 10.1, *Professionalism in Personnel Decision Making.*

OP 4.3.3.2 PTR Committee Training. All members of a PTR Committee shall complete training annually via [Link to Training] on how to perform a meaningful and unbiased review of a faculty member.

OP 4.3.4 PTR Five Year-Plan. At the beginning of the PTR cycle, the faculty member shall develop with the Department Chair a five-year goal or plan. This plan can be modified annually by the faculty member, in consultation with the Department Chair, as deemed appropriate by changes in institutional, departmental, or personal circumstances. Annual reviews shall be considered as a component of post-tenure review, but alone are not a substitute for a comprehensive five-year evaluation.

OP 4.3.5 PTR Materials.

OP 4.3.5.1 Materials Submitted to the PTR Committee by the Faculty Member. ~~Each faculty member under review shall provide to the PTR Committee a one (1) page self-assessment of their accomplishments over the previous five (5) years, the faculty member's long-term, 5-year work plan with any noted updates to the plan since its creation; which may include: evidence of teaching effectiveness, student feedback, peer reviews of teaching, professional development specific to improving teaching; and a current *curriculum vita*.~~

Each faculty member under review shall provide their self-assessment of their performance over the previous five (5) years. The self-assessment shall be composed of:

1) the faculty member's long-term, 5-year work plan with any noted updates to the plan since its creation;
2) copies of each annual review for the past 5 years;
3) evidence of teaching effectiveness, which may include student feedback;
4) peer reviews of teaching;
5) self -assessment;
6) professional development specific to improving teaching;
7) and a current curriculum vita.

Any narrative sections of the self-assessment should not exceed five pages in length. These materials will be submitted in InfoReady.

OP 4.3.5.2 Materials Submitted to the PTR Committee by the Department Chair. The Department Chair shall provide the PTR committee with copies of the faculty member's annual reviews for the previous five (5) years and a copy of the faculty member's five-year goal or plan with any noted updates to the plan since its creation.

OP 4.3.6 PTR Committee Procedures. The following procedures shall guide the PTR process.

OP 4.3.6.1 Calling Meetings of the PTR Committee. The PTR Committee Chair shall call and schedule all PTR Committee meetings. The announcement shall clearly state the time and location (or means) of the meeting and how to access all materials pertinent to the meeting.

OP 4.3.6.2 Location and Type of PTR Committee Meeting. All meetings of the PTR Committee shall be held on campus, or via electronic access on a University approved platform, or shall combine these two options. If the meeting is conducted electronically (in whole or in part), the PTR Committee Chair shall host the meeting. Any University employee participating in a PTR Committee meeting electronically is responsible for securing a setting that maintains the confidentiality requirements of the PTR Committee.

OP 4.3.6.3 Electronic Recording of PTR Committee Meetings. Because of the confidentiality required for consideration of personnel matters, electronic recording of PTC Committee meetings by any party is prohibited.

OP 4.3.6.4 Conduct of PTR Committee Meetings. All PTR Committee meetings shall be conducted using procedures outlined in *Robert's Rules*

of Order, as currently revised.

OP 4.3.6.5 Keeping of PTR Committee Meeting Minutes. The PTR Committee shall select someone to take minutes at each meeting. The minutes shall record:

1. all persons in attendance at the meeting and all members of the committee absent from the particular meeting;
2. any business under discussion;
3. any action considered. All motions shall be stated in the affirmative. The record shall state that the PTR formally considered a candidate and shall state the materials and criteria that were considered, but the record shall not include individual comments;
4. all votes (the number of affirmative votes and negative votes) on each action, but not the votes of individual members of the committee.

OP 4.3.6.6 Confidentiality of PTR Committee Meetings. Confidentiality must be maintained by the PTR Committee. Confidentiality means not sharing or discussing any of the following outside of the PTR Committee: any materials submitted, PTR Committee discussions and deliberations, and PTR Committee determinations. No discussion of PTR Committee members about a personnel matter shall take place outside the confines of an PTR Committee meeting.

OP 4.3.6.7 Security of PTR Materials. All materials shall remain in a secure location in the departmental office (under the supervision of the Department Chair) and/or in a secure University electronic server file with access provided to all PTR members and subsequent reviewers.

OP 4.3.6.8 PTR and Joint Appointees. In the case of a joint faculty appointee, the Department Chair shall make sure that any process necessary in any other Department regarding that faculty member's PTR stipulated in the letter of appointment is undertaken.

OP 4.3.6.9 PTR Committee Evaluation. The PTR committee shall review all submitted materials and shall draft a one (1) page summary concerning its evaluation. The faculty member's performance over the previous five (5) years shall be ranked as either: (1) exceeds expectations; (2) meets expectations; or (3) does not meet expectations. This summary shall be in writing on this form and provided to the faculty member and the Department Chair(s) within twenty (20) calendar days of receiving the materials, barring any extenuating circumstances. This summary shall include recognition for exemplary performance, if applicable.

OP 4.3.7 Right to Grieve Post Tenure Review/Faculty Success Plan. Consistent with *The Code & UNC Policy Manual,* a faculty member may choose to grieve violations of federal or state law, UNC Policy or Regulation, or constituent institution policy or regulation of the PTR process or Faculty Success Plan [FSP] and where the faculty member was negatively affected by such decision. This grievance must be filed in accordance with the provisions of Section 607 of the *The Code & The UNC Policy Manual*. The faculty member shall not be required to adhere to the terms of any FSP, if a grievance has been timely filed and an Faculty Hearing Committee panel is in the process of determining if the grievance shall be heard, is hearing the grievance, or if all

appellate processes are not completed [*see OP 9, Faculty Employment Rights].*

OP 4.3.8 Reward and Recognition for Exceeding Expectations. Faculty members whose post-tenure review results in an overall rating of "exceeds expectations" shall be considered to have successfully completed the post-tenure review process. The university recognition is differentiated by the faculty member's rank.

OP 4.3.9 Associate Professors. For faculty members with the rank of associate professor, the Dean shall provide a formal letter of recognition. This letter shall be placed in the faculty member's personnel file. The Dean shall forward the faculty member's materials to the Provost and Executive Vice Chancellor for additional recognition.

OP 4.3.10 Professors. For faculty members with the rank of professor, the Dean shall provide a formal letter of recognition. This letter shall be placed in the faculty member's personnel file. The Dean shall forward the faculty member's materials to the Provost and Executive Vice Chancellor for additional recognition or reward.

> **OP 4.3.10.1 Reward.** In fiscal years where funding is available, faculty with the rank of professor whose post-tenure review results in an overall ranking of "exceeds expectations" shall be recognized for exemplary performance in the form of a financial reward. Award of this financial incentive is contingent upon the availability of institutional funds. In fiscal years where funding is unavailable, the Provost reserves the right to consult with Finance & Operations and/or the Chancellor to identify possible other funding and/or possibly delay the increase until a future year, provided funding is available.