



January 25, 2023
Hill Ballroom, The Carolina Inn

OPEN SESSION

FOR ACTION

1. **Approval to Convert Distinguished Professorship as Time Limited and Renewable**
J. Christopher Clemens, Provost
 - Annie Louise Wilkerson Distinguished Professorship

FOR INFORMATION

1. **School of Data Science and Society Personnel Policy**
Dr. Becci Menghini, Vice Chancellor for Human Resources & Equal Opportunity Compliance

*Some of the business to be conducted is authorized by the N.C. Open Meetings Law to be conducted in closed session.

COMMITTEE MEMBERS

Rob Bryan, Chair
Teresa Artis Neal, Vice Chair
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Allie Ray McCullen **Taliajah Vann**

AGENDA ITEM***Action Item 1*** ***Approval to Convert Distinguished Professorship as Time Limited and Renewable.***

Situation: The Committee has for its approval a request from the Department of Obstetrics and Gynecology in the School of Medicine that the Annie Louise Wilkerson Distinguished Professorship, which is currently vacant, be converted to a term professorship, awarded on a five-year basis and renewable.

Background: [State law](#) allows Distinguished Professorships for the duration of the full-time service of the professor as a faculty member, and it also allows time-limited appointments when authorized by the Board of Governors and the board of trustees when the Distinguished Professorship is originally established or is vacated.

Assessment: In accordance with [Section 600.2.3](#) of the UNC Policy Manual, the Board of Governors has delegated the authority to designate a Distinguished Professorship as time-limited to the boards of trustees of those institutions designated as special responsibility constituent institutions with management flexibility. UNC-Chapel Hill is a special responsibility constituent institution with management flexibility, so no Board of Governors approval is needed to convert the Wilkerson Distinguished Professorship to a term-limited one, only Board of Trustees approval.

Action: This item requires approval by the Board of Trustees.

TO: UNC-CH Board of Trustees

FROM: Lachonya Williams, Assistant Provost
University of North Carolina at Chapel Hill

DATE: January 2023

RE: Personnel Policy – School of Data Science and Society

The attached policy is being submitted for review by the UNC-CH Board of Trustees (BOT). This policy has been approved at the unit, Dean’s Office, and Provost Office level.

If I can provide any additional details, please do not hesitate to contact me.



APPOINTMENTS, PROMOTIONS, and TENURE MANUAL¹

Version: October 2022

Approved by the Appointments, Promotions and Tenure (APT) Committee of the
School of Data Science and Society on August 25, 2022.

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

Document History: This version of the School of Data Science and Society Appointments, Promotion and Tenure (APT) Manual was approved on **August 25, 2022** after discussion and a vote by members of the SDSS APT committee.

Style note: The School of Data Science and Society should be referred to by its full name or, as appropriate, by “SDSS” or “the School.”

¹ We thank the UNC Gillings School of Global Public Health for allowing us, with permission from the Dean’s office, to adapt the APT document for Gillings to create our SDSS APT document.

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Preamble

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

I. Definitions

A. *Appointment*

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

B. *Promotion*

Increase in rank within a given track of faculty appointment.

C. *Tenure-track*

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

D. *Fixed-term*

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

Titles: Among the fixed-term appointments, the School supports making modifiers of titles (e.g., “Clinical,” “Teaching,” “Research,” as in “Research Associate Professor”) optional when used as a working title. However, for administrative purposes, titles such as Teaching, Clinical, or Research Assistant Professor are used.

E. *Clinical*

The term clinical in the title for a fixed-term appointment is defined in the broader sense, meaning professional practice in data science or a related discipline, such that it serves as a framework for teaching and/or supervising students in academic, clinical, or field settings.

F. Probationary term

The period of time at assistant professor or associate professor ranks that faculty serve prior to promotion or tenure. Details vary for tenure and fixed-term tracks and are described below in Sections IV and V and in the Trustee Policies.

G. Tenure Policy

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

H. Voting

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

I. Full Faculty

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

II. General Information on Appointments, Promotions and Tenure

A. *New appointments*

New appointments in the School of Data Science and Society will be proposed when feasible and appropriate for the academic or research programs of the School. To ensure coordination and oversight, new faculty positions, regardless of rank or track, must be approved by the SDSS Dean.

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

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

C. *Joint appointments*

Joint appointments can occur between the SDSS and departments in other universities or between the SDSS and departments in the College or other Schools within UNC Chapel Hill, all referred to as academic units here. Joint appointments may facilitate interdisciplinary research, teaching, training, mentoring, and practice; achieve important academic unit goals; and enable the academic unit to acquire needed expertise. In the interests of broadening intellectual resources, the School may propose joint appointments for faculty whose areas of work and accomplishments are quite different from those of most in data science. Regardless, those proposed for joint appointments should be accomplished in research, teaching, and service appropriate to their own field of work and to the rank and track proposed.

Joint appointments are governed by section 2.c.7 of the Tenure Policy and are made simultaneously by joint recommendation that includes the elements specified by the Tenure Policy. The percent of time that a jointly appointed faculty member may spend in the secondary unit can vary, with a maximum of 50%. Also, the percentage of salary paid by the secondary unit can vary, from no salary coverage up to 50%, and may fluctuate depending on coverage from grants and contracts.

D. *Faculty transfers*

Faculty transfers between Schools and/or departments in the College are highly unusual. Such transfers may be appropriate due to changing academic needs of a faculty member or those of their primary academic unit. A transfer can occur between the SDSS and the College or another School at UNC-Chapel Hill. The faculty member wishing to transfer must obtain approval from the Dean of each school prior to initiating the transfer because transfers place continuing obligations on the school to which the faculty member transfers. If the academic rank of the faculty member who is transferring is associate professor or professor, required documentation is the same as for appointment at the proposed rank. Department or School transfers require review of the SDSS APT Committee and the UNC-Chapel Hill Board of Trustees.

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

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

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

F. Track changes

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

G. Variable track

Some faculty are hired on the variable track to provide them additional transition/research time to determine their career trajectory. The variable track is a three-year fixed-term appointment. The School reviews and decides by the end of the second year to determine if the faculty member will remain in a fixed-term Research Assistant Professor position or transition to a tenure-track assistant professor or associate professor without tenure position.

H. Diversity and equal opportunity

As an interdisciplinary community of scholars, faculty in the School are committed to increasing faculty diversity. The School is committed to following all lawful best practices for faculty recruitment, hiring, mentoring, and advancement as detailed by the guidelines of the Equal Opportunity and Compliance Office, the recommendations of the 2020 report of the UNC-Chapel Hill Task Force on Promotion and Tenure Policies and Practices, and Title VII of the Civil Rights Act of 1964.

III. Types of Appointments

A. *Tenure-Track Appointments and Ranks*

1. *Instructor (with special provisions)*

This rank is appropriate for persons for whom there is reasonable expectation that, in the normal course of events, they will progress to the rank of assistant professor. Appointment is for a probationary term of one year, renewable for three additional successive, one-year terms for a total of four years. No reappointment beyond four years is allowed.

2. *Variable Track*

This track is appropriate for persons who need additional transition/research time to consider the academy as a viable career path and/or to help them determine their career trajectory overall. Appointment is for a three-year fixed term. By the end of the second year, the faculty member will remain in a fixed term position or, upon meeting initial appointment guidelines and criteria for the tenure-track positions, move on as a tenure-track assistant professor or associate professor without tenure.

3. *Assistant Professor*

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

- a. Upon successful completion of a review prior to the end of the third year in the first term, the assistant professor is reappointed at the end of the fourth year for a second probationary term of three years.
- b. General criteria for promotion are detailed below under section IV, Standards and Criteria for Appointment and Promotions – General Criteria for All Tracks, and specific criteria for tenure-track assistant professor positions are set forth in section V, Standards and Criteria for Specific Tracks.
- c. Once a faculty member meets or exceeds the standard criteria for promotion, they are then eligible to be considered for promotion and/or tenure. However, some minimum time in rank is typically considered necessary for promotion and/or tenure decisions. For example, it would be highly unusual for a candidate to be in rank for less than four years; and six years is the usual time to serve as an assistant professor. Thus, consideration for promotion should normally begin early in the sixth year.
- d. Unusual, exceptional circumstances may warrant the extension of this schedule under the Tenure Policy provisions for extension of the tenure clock.
- e. Reappointment at the rank of assistant professor following expiration of second probationary term should be made only in clearly exceptional circumstances and must be approved by the Dean and Provost.
- f. Assistant professors are not eligible to be promoted directly to the rank of professor.

4. Associate Professor

Promotion to the rank of associate professor from the rank of assistant professor confers tenure.

- a. Newly-recruited associate professors **coming with tenure** from another university should be assessed by the SDSS APT Committee, the Associate Dean for Faculty Affairs, and the Dean for whether to recommend tenure at the time of offer to UNC-Chapel Hill. The vote of the tenured associate and full professors in the School is required for this action. In these cases, UNC-Chapel Hill will generally award tenure with the new appointment or as soon as possible thereafter if there is compelling evidence the individual meets all school and University expectations for research, scholarship, teaching, and service. After the School vote, the recommendation to award tenure must be reviewed and approved by the SDSS APT Committee, the Associate Dean for Faculty Affairs, the Dean, the University APT Committee, the Provost, and the UNC-Chapel Hill Board of Trustees.
- b. Newly-recruited associate professors **coming without tenure** from another university or having been assistant professors at the previous university will not be extended an offer of tenure consideration at UNC-Chapel Hill at the time of the offer unless or until they clearly and compellingly demonstrate that they have already met the promotion and tenure standards of the School and UNC-Chapel Hill.
- c. General criteria for promotion are detailed below under section IV, Standards and Criteria for Appointment and Promotions – General Criteria for All Tracks, and specific criteria for tenure-track assistant professor positions are given in section V, Standards and Criteria for Specific Tracks.
- d. It is a rare event for an associate professor with tenure to be considered for promotion to full professor with a submitted dossier in less than four years in rank as an associate professor. However, unusually high levels of accomplishment or retention concerns may be considered in the timing of an earlier promotion or tenure review. In all cases, the candidate must meet or exceed the School guidelines/expectations for promotion to full professor.

5. Professor

If not already tenured at UNC-Chapel Hill, appointment to the rank of professor following all required approvals also confers tenure. Post-tenure review is then completed every five years after tenure is awarded.

B. Fixed-Term Appointments

The following apply to all Teaching, Research, and Clinical Fixed-Term Appointments

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

- d. Fixed-term assistant professors are not eligible to be promoted directly to the rank of professor.
- e. Appointment or promotion to fixed-term associate professor or fixed-term professor must be reviewed and approved by the SDSS APT Committee, voted on by the full faculty, and approved by the Dean. Reappointment of fixed term faculty members is reviewed/approved by the Dean or the Dean's designee but is not reviewed by the SDSS APT Committee.
- f. Promotion to fixed-term associate and full professor is appropriate for faculty who have substantial accomplishments and/or have rendered important service to the University and meet all relevant guidelines and expectations established by the School.
- g. General criteria are detailed below under section IV, Standards and Criteria for Appointment and Promotions – General Criteria for All Tracks, and section V, Standards and Criteria for Specific Tracks.
- h. Length of time in rank in a fixed-term position before eligibility for promotion should generally be consistent with tenure-track expectations. Exceptions can be made based on experience before joining the SDSS faculty at an accredited institution, industry, government, contract research organizations, or other institutions pertinent to the appointment, and those are typically stated in the offer letter.
- i. All modifiers, such as "Teaching," "Research," and "Clinical," will be optional when used as a working title. The modifiers will remain in the listing for HR / administrative purposes.

Types of Fixed-term Appointments

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

1. Teaching Appointments

- a. This category includes teaching assistant professor, teaching associate professor, and teaching professor. Teaching faculty will be primarily engaged in teaching activities and may also conduct research and scholarship, including pedagogical research. They may also serve in an administrative role, engage in data science practice/service, and/or conduct research.
- b. Faculty with teaching appointments will teach courses, direct teaching or training programs, supervise student field work, advise and mentor students, and provide other important teaching/mentoring-related activities.
- c. To be appointed to the ranks of teaching associate professor and professor, faculty members must demonstrate excellence in teaching and scholarship in education, showing that they are fulfilling important teaching, advising, mentoring, or programmatic needs of the School.

2. Clinical Appointments

- a. This category includes faculty with primary activity in clinical or data science professional practice. The term "clinical" typically refers here to professional practice in data science or a related discipline, such that it serves as a framework for teaching, and/or supervising students in academic, clinical, or field settings. This category includes clinical assistant professor, clinical associate professor, and clinical professor.

- b. Faculty with clinical appointments primarily conduct data science professional practice or clinical-related work, but may also serve in an administrative role, conduct research, teach courses, direct training or teaching programs, supervise student field work, or provide other important teaching-related activities.
- c. To be appointed to the rank of clinical associate professor and professor, faculty members whose work primarily involves clinical, data science professional practice and/or policy work must demonstrate that they are fulfilling important professional/clinical needs of the School or communities.

3. Research Appointments

- a. This category includes research assistant professor, research associate professor, and research professor. The faculty will be engaged primarily in research activities, but may also serve in an administrative role, engage in data science professional practice, teach courses, direct training or teaching programs, supervise student field work, or provide other important teaching-related activities.
- b. In many schools, research faculty work with teams of faculty, postdocs, and students to write grants and/or to carry out research projects once they are funded, including providing research support to tenure-track faculty. Additionally, research faculty may lead their own research programs or teams as principal investigators or in similar roles. Research faculty may also support research conducted as co-investigator on larger multi-site trials or extra-morally funded Center grants or other team science opportunities.

4. Professor of the Practice Appointments

- a. Faculty with professor of the practice appointments may serve in teaching, research, mentoring, practice, and advising roles appropriate to their experience and fields of interest. The professor of the practice designation is employed primarily to attract persons with distinguished careers in non-academic settings to the School for specific periods of time. Such individuals generally are successful professionals in their fields whose contributions to teaching, research, or service upon joining the University have their foundation in prior non-academic achievements.
- b. An appointment in this fixed-term category requires prior approval from the Dean. Professor of the practice is intended to match more accurately than any existing fixed-term designations the nature and scope of the mission for outstanding individuals who are experts in specific areas pertinent to the broad mission of the School and from outside academia whom we may occasionally attract to campus.
- c. Professor of the practice designations generally have an associated field identifier in the title, such as Professor of the Practice of Data Science or a specific discipline, such as Professor of the Practice of Artificial Intelligence. In some cases, the field designator may be crafted to recognize interdisciplinary interests, such as a Professor of the Practice of Digital Humanities or Econometrics. The professor of the practice designator should be used primarily to facilitate recruitment of (and recognize) senior individuals to the School.
- d. Faculty in this category may be given an initial appointment of one to three years and may be reappointed for fixed terms of one to two years with a maximum allowable time of three years in this capacity. In situations where further renewals are desired, appointments to one

- of the clinical tracks should be considered. Professor of the practice may not be used for individuals on the tenure-track whose basis for promotion or tenure is professional practice.
- e. There are no designations as Associate Professor of the Practice or Assistant Professor of the Practice.

5. *Visiting Appointments*

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

6. *Adjunct Appointments*

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

- a. The title “adjunct” connotes a part-time commitment of an individual to the School.
- b. The faculty is a retired employee, employed outside the University, or has a primary appointment in a University unit different from the School.
- c. The faculty has limited responsibilities in their adjunct appointment in the School. The individual may be involved in teaching, research, practice, or service activities.
- d. The faculty typically does not receive regular salary from the School but may, in some instances, receive compensation for specific services or activities performed.
- e. Adjunct faculty members who are unpaid may be appointed for a one-year term of service at the discretion of the SDSS Dean. Longer appointments of up to three years require a vote of the full faculty.
- f. The faculty does not have and may not acquire tenure by virtue of initial or reappointment to the adjunct ranks.
- g. The individual may be promoted within adjunct ranks based on appropriate criteria that relate to the individual’s functions in the School.

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

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

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

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

General

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

- a. **Teaching** – This includes dissemination of knowledge and skills to students, data science professionals, and the public through instruction, mentoring, training, professional continuing education, and other mentoring interactions.
- b. **Research** – This includes original research that develops or identifies important fundamental contributions, mechanisms, or processes pertinent to the foundations and applications of data science, but also may include exploration of interventions to promote social good through data science; data-driven description and analysis of social, legal, ethical, and humanistic issues, challenges, and policies; innovative strategies to improve the professional practice in data science; creative approaches to pedagogy; and curation, articulation, management, and visualization of data and information through teaching or service in government or other sectors of society.
- c. **Professional Practice and Service** – Professional practice includes the development, implementation, and/or leadership of policies, programs, interventions, or other activities to

benefit the evolving field of data science and its intersections with various other fields. Service overlaps with practice to include service to the School, University, or broader professional and other communities, such as, but not limited to, participation on committees, development of new programs, or leadership of collaborative activities.

A. General Characteristics of Demonstrated Impact

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

1. Teaching

Scholarship of teaching occurs in a variety of ways and settings, including classrooms, training programs, and various online educational venues. It also occurs in many other settings such as in research laboratories or in field settings, practice settings, and supervision of master's theses, doctoral dissertations, capstones, honors papers, other forms of student-directed research and field training activities. Teaching also occurs as part of academic mentoring. Faculty members in the School may provide considerable continuing education for data science professionals in the form of workshops, short courses, webinars, and executive education programs. For purposes of promotion and tenure, all of these activities are examples of teaching.

a) Demonstrated impact

Teaching excellence is assessed through evaluation of the extent to which content is current, relevant, of high quality, and, by the effectiveness of the delivery. Innovation, adoption of course materials (e.g., books, software, websites, blogs and other digital media, videos, games, simulations) and contributions to teaching methodology may also be assessed for demonstrated impact. Teaching approaches may be shared in the professional literature. Impact can also reflect the extent to which other faculty or data science professionals adopt the teaching/training materials or approaches.

b) Quality of teaching

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

2. Research

Scholarship in research includes systematic collection, analysis, and curation of information for a) generation of knowledge, b) its refinement or application, or c) solving important social/policy problems through data science. Included under scholarship are research studies which are carried out in laboratory, field, clinic, or library settings and which may be based on varied types and sources of information or data. Scholarship also includes developing innovative strategies for teaching about research and/or practice, and projects conducted in collaboration with industry, public, or private organizations, or communities to help them assess social and environmental problems, ensure delivery

of data-informed services, or ensure the quality of services or develop data-informed policies. At the levels of policy and government, scholarship in research may include curation and organization of knowledge and knowledge-based practices to guide improved programs and practices for the well-being of the public. Scholarship in research includes high quality teaching about research methods or implications that critically integrate, translate, and otherwise convey knowledge in the subject being taught.

Collaborative and Team Science

Scholarship in many areas of data science has come to reflect multidimensional, multilevel, and intersectoral understanding of social and environmental problems and issues. Such understanding may require the scholarly contributions of multiple perspectives or disciplines. As a result, team science and collaborative research endeavors are frequent and recognized as often the best way to address complex research questions and problems. In such approaches, different scholars can each make complementary and substantive contributions.

a) Demonstrated Impact:

Faculty members' scholarship in research should a) contribute to knowledge that has the potential to improve the lives of the public and/or b) advance the science or practice of data science. There is no single criterion or indicator of excellence in scholarship. No single element is either necessary or sufficient for promotion. Rather, the appraisal is individualized in considering the contributions of the faculty member across the many areas detailed in these guidelines. Consequently, the details that follow are intended to portray the range of desirable characteristics of scholarship.

b) Examples of scholarship in research

- a. Scholarship area is judged by others to be important relative to the faculty member's discipline, moving the discipline of data science forward.
- b. Scholarship attributable to the faculty member represents a contribution toward moving another discipline forward, such as by stimulating the work of other scholars or new directions in that field through the applications of data science.
- c. Both (a) and (b) may be documented through independent judgement of recognized experts concerning quality and impact of scholarship.
- d. For collaborative and team science, the work of the investigator represents a major and distinct contribution toward the accomplishments of the project and its findings and moving a discipline forward.
- e. Scholarly products may take the form of peer-reviewed articles, books, other publications/presentations, patents, software, databases, and/or digital media that are peer-reviewed and represent a major contribution to the field.
- f. Invited or other distinctive presentations in major meetings in one's discipline.
- g. Substantial and innovative or integrative contributions to policy or program design.
- h. Awards received in recognition of outstanding scholarship.
- i. Recognition of outstanding scholarly accomplishments such as by election or appointment to leadership position of national and international scientific organizations or by selection as editor of scientific publications.

- j. Appointments to serve on scientific review or advisory committees which are based on scholarly accomplishments.
- k. Ability to obtain funding for research and/or scholarly activities, especially peer-reviewed funding.
- l. Innovation such as by identification of new areas or application of new methods or approaches in scholarship as well as research that addresses the public good.

3. *Professional Practice in Data Science and Service to the School and University*

Scholarship in the professional practice of data science may be demonstrated through fulfilling important practice needs of the School but may also be demonstrated through contributions beyond the University through governments or other sectors important to data science. Contributions to professional practice may also emerge from faculty members' articulation of the societal relevance and application of their work through their research and/or teaching. Contributions may improve data science professional practice locally, regionally, nationally, or internationally. For promotion that may be partially based on professional practice of data science, innovative application of knowledge must be deemed scholarly. That is, in addition to the faculty member's professional practice having influenced a given policy, community, agency, or program, the practice must have contributed to advancing state-of-the-art of data science practice itself. As rank increases, it is expected that the quantity, quality, and impact of practice or of the implications for practice of the faculty member's scholarship will also grow.

As with research and teaching, there is no single criterion or indicator of excellence in the professional practice of data science or of the significance of practice-related scholarship. Consequently, the details that follow are intended to portray examples of the range of desirable characteristics of such work.

a) Examples of scholarship in professional practice

- a. Development of new data-driven programs or policies which have had impact on the fundamentals of data science or the applications of data science to society.
- b. Incorporation of new developments in the faculty member's discipline and application to current problems in other domains.
- c. Scholarship or other work of the faculty member moves evidence-based practice forward.
- d. For collaborations, the portion of the work attributable to the faculty member represents a major contribution to projects and to moving a discipline forward.
- e. Products of professional practice may take the form of patents, software, databases, and digital media, as well as programs, policies, or procedures that are peer-reviewed and represent a major contribution to the field.
- f. Practice-oriented presentations with high impact as indicated by attendance or reach or key decision-makers in the audience.
- g. Participation in invited, high impact task forces or joint projects.
- h. Documentation that practice contributions have had important effects on policy or on a community, organization, policy or program at a local, regional, national, or international level.

- i. Evidence that professional practice activities involved or resulted in creation or development of new methodologies or systems in data science resulting in the improvement of society.
- j. Evidence that professional practice activities in data science have contributed to teaching activities of faculty members or the School. This may include evidence that practice activities have contributed to teaching regarding such topics as data management problems or developing data-informed policies.
- k. Evidence that new knowledge, methods, or policies derived from the candidate's data science practice have diffused to other communities and/or data and data-related organizations.
- l. Evidence of the impact of technical reports (e.g., letters indicating that a technical report was used to improve data management problems). Impact of technical reports should also be documented by independent reviewers.
- m. Receiving honors or awards in recognition of outstanding contributions to professional practice in data science.
- n. Invitations by other institutions or data science agencies to help plan, organize or review data science practice activities.
- o. Appointments to national commissions, committees, and boards related to data science practice.
- p. Membership on or leadership of public boards, commissions, or panels where the appointment is based on the faculty member's professional expertise.
- q. Consultations with or providing technical assistance to local communities, states, nations, or organizations where such consultation/technical assistance is requested because of the faculty member's professional expertise.
- r. Consultations with industry and business where such activity provides benefits for the public good.
- s. Participating in an assessment of a community, state, or nation regarding their use of data and its management.
- t. Designing or implementing an evaluation of a data-related program at a local government or non-profit organization.
- u. Supervision of data-related student projects in communities and organizations where a primary result of the project is benefit to a client organization.
- v. Testimony before boards, commissions, or government bodies where such testimony is related directly to the faculty member's professional expertise.
- w. Preparation of studies, reports, survey, or analyses which are responsive to requests from community organizations or governmental bodies.
- x. Acting as a resource to community organizations or governmental bodies to assist them in networking with other experts or locating information sources requested by these organizations.
- y. Speaking to and educating community organizations on data related issues.
- z. Conducting community-based research that fully engages community members and intended beneficiaries in planning, implementation, and evaluation.

- b) *Innovation*
 - a. Developing, testing, and applying new methods or approaches in data science practice that address the public good.
 - b. Improving implementation or evaluation of professional practice of data science with new methods, tools, or strategies.
- c) *Responsiveness and collaboration*
 - a. Evidence of sustaining and building relationships and teams.
 - b. Engagement in collaborative practice projects.
 - c. Contributions to the School's or University's practice mission or national or international needs.
 - d. Evidence of incorporating new developments in disciplines and transfer knowledge and techniques to current problems influencing the use of data for the public good.
- d) *Support structures*
 - a. Contribution to practice support structures of the School and University.
 - b. Advancement of practice enterprise through service on panels, mentoring, and other activities or policy review panels.
 - c. Leadership in design, delivery, and evaluation and/or application of knowledge.
- e) *Service to the School and University*

Professional practice includes the development, implementation, and/or leadership of data-informed programs, policies, or other activities to benefit society at large. Service overlaps with professional practice to include service to the School, University, or broader professional and other communities, such as, but not limited to, participation on committees, development of new programs, or leadership of collaborative activities. We recognize there are different types of professional practice and service (e.g., service to the community) and there is also service to the profession.

All faculty members must share in the work necessary to maintain operations of the School and University. Furthermore, faculty members are expected to contribute to the growth of the School through continuous improvement efforts.

Faculty members are also expected to contribute to the maintenance and growth of their profession which includes the mentoring of junior faculty.

Professional service includes, but is not limited to, service on School and University committees; leadership in professional organizations; serving as a reviewer for manuscripts, grants, white papers and reports (such as reports from the National Academies of Science, Engineering and Medicine, or other prominent government or nongovernmental organizations); and review of faculty who are being considered for advancement at other institutions. Professional service may also include serving as a site visitor for accreditation visits, departmental reviews within UNC-Chapel Hill and beyond, and similar activities.

Examples of professional services activities related to the School, University, and profession, include:

- a. Mentoring junior faculty;
- b. Membership on committees of the School, University, or within the profession;
- c. Other contributions to faculty governance (e.g., conducting special studies for the School and University; serving on Faculty Council);
- d. Serving in an administrative capacity for the School or another university unit (e.g., dean, associate dean, center/program director);
- e. Serving in an administrative or programmatic role for federal, local, or private agencies in service to advancement of the profession;
- f. Membership in or leadership of a professional organization;
- g. Reviewing manuscripts for professional journals or reports for state, municipal, federal, national, and international organizations;
- h. Serving on committees or boards for other universities, or for federal, national, or state organizations.

4. Interdisciplinary Contributions

The School recognizes and values interdisciplinary scholarship consistent with the [*Appointment, Promotion & Tenure Guidelines in the Faculty Handbook*](#) and the Tenure Regulations. It is often through interdisciplinary and transdisciplinary work that creative, data-driven solutions and new knowledge emerge for many complex societal problems. For these reasons, faculty are encouraged to pursue scholarship as part of interdisciplinary team science. For interdisciplinary activities that involve collaborations, evaluation of interdisciplinary contributions in the areas of teaching, research, service, and engagement should include explanation of the individual's contributions to each such activity and or scholarly product. As faculty members advance in rank, their roles in interdisciplinary ventures should progress to those of leaders and senior investigators.

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

A. *Tenure-track Ranks*

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

Increase in Impact with Rank

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

1. *Instructor (with special provisions)*

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

2. *Assistant Professor*

a) *Standards for initial appointment*

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

b) *Reappointment for a second probationary term*

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

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

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

Recommendation for tenure requires a judgment not only about the past and present achievements of the candidate but also about their potential for future achievements. While emphasizing proven excellence in research and teaching, the School stipulates that, in questions of tenure, a person must show promise of continuing achievement in all three areas: research, teaching, and professional practice/service as detailed in the general criteria of section IV. A recommendation for promotion and/or tenure by the Dean requires a careful assessment informed by outside references about the qualifications of the candidate and the professional judgment of the assembled tenured associate and full professors.

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

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

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

4. Professor

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

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

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

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

B. Fixed-Term Ranks – Clinical, Research and Teaching Appointments

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

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

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

1. Clinical appointments

Faculty with clinical appointments can serve the School through a variety of professional practice activities. To be appointed to the rank of clinical associate professor, faculty members must demonstrate that their work primarily involves the professional practice of data science.

Faculty with clinical appointments must also contribute to the teaching needs of the School, for promotion purposes. Examples of teaching practice include mentoring students, didactic classroom teaching, technical instruction, and individual tutoring. High-quality teaching as outlined earlier, must be demonstrated through student evaluations, peer-review of teaching, and a teaching portfolio.

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

2. Research appointments

Criteria for appointment to research associate professor or research professor are usually different than for tenure-track faculty. To be appointed to the higher ranks, a research-track faculty member must demonstrate a consistent record of having provided important research services to the School. Such services include, but are not limited to, assisting in writing grant proposals that are funded, assisting faculty in carrying out funded research projects, assisting faculty in producing scholarly research

products such as journal articles, book chapters, software, digital media, or presentations at professional meetings, and similar products.

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

Faculty with research appointments must contribute to the teaching needs of the School for promotion purposes. Examples of teaching practice include mentoring students, didactic classroom teaching, technical instruction, and individual tutoring. High-quality teaching as outlined earlier, must be demonstrated through student evaluations, peer-review of teaching, and a teaching portfolio.

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

3. Teaching appointments

The major criteria by which appointments and promotion are judged is the dissemination of knowledge and skills to students, data science professionals, and the public through excellence in teaching. For faculty to be appointed to the rank of, or reappointed at the higher rank of, teaching associate professor or teaching professor, it must be demonstrated that the candidate is fulfilling important teaching needs of the School. Sometimes faculty with a primarily teaching appointment will conduct research as well. High-quality teaching must be demonstrated through student evaluations of courses, peer-review of teaching, and a teaching portfolio. Faculty may also be appointed and promoted on the teaching track based on excellent administrative contributions within the School, or by developing novel or innovative curriculum, or exercising significant leadership that produces high quality scholarship in the field. Publishing on teaching is another way to distinguish scholarship in teaching. In such cases, evidence of successful program development and/or enhancement may substitute for or complement other evaluation indicators for the teaching track. The Dean’s letter in support of promotion should clearly elucidate the scope of and evidence of accomplishment. For those faculty on teaching appointments engaged in practice, actual or potential impact of activities to enhance data and society are also considered.

C. Fixed-term Professor of the Practice

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

VI. Procedures for Proposing, Reviewing, and Tracking Appointments and Promotions

Overview

Appointments and promotions begin with the School's APT Committee. Following a search, recruitment, or sufficient time in rank and accomplishment, the Associate Dean for Faculty Affairs has the responsibility to work with the faculty member to assemble the necessary documents to support the requested action and send them forward to Human Resources for the SDSS. Human Resources will then consult with the leadership of the School's APT Committee and the Associate Dean for Faculty Affairs in readying the documents for review by the School's APT Committee.

For tenure-track appointments, the SDSS APT Committee will make a recommendation to the full faculty who will then vote on the action as appropriate by rank.² The faculty vote is advisory to the Dean. If approved by the Dean, recommendations for appointment, promotion, and/or tenure are then forwarded to the University APT Committee. If approved at the University level, the provost makes the final decision to submit appointments or promotions to the UNC-Chapel Hill Board of Trustees. All tenure-track appointments and actions conferring tenure require the approval of the Board of Trustees.

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

Equal opportunity

As noted at the beginning of this manual, all appointments and promotions must comply with equal opportunity rules and regulations. It is the policy of the SDSS to enforce vigorously the University's equal opportunity procedures in both letter and spirit. Details of these procedures are published in the Equal Opportunity Action Plan.

Dossier Discussions

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

² Faculty vote for considerations that are at or below their own rank. The fixed-term faculty do not vote on tenure decisions or promotion of tenured faculty. However, tenured faculty – associate and full professors – do vote on fixed term appointments and promotions.

Orienting Administrators and Faculty Members about the APT Process

The SDSS APT Committee Chair and the Associate Dean for Faculty Affairs co-sponsor an annual meeting about appointment, promotion, and tenure policies, as well as best practices and pitfalls.

A. Committee on Appointment, Promotion, and Tenure (APT)

1. Reviews conducted by the School's APT Committee

All appointments, reappointments, and promotions that result in tenure, and all appointments to the rank of associate professor and above (including fixed-term appointments), must be reviewed by the School's APT Committee. The Human Resources staff who support the School's APT committee will manage and circulate among relevant administrators a regular schedule of APT meetings along with dates by which documents are due to be reviewed at the next regularly scheduled meeting.

2. Representation

The School's APT Committee is a standing committee appointed by and advisory to the Dean, with membership representing the tenured full professors. The Associate Dean for Faculty Affairs oversees the committee and represents the School at the University APT Committee.

3. Membership

Membership is for a period of three (3) years. The Committee will consist of members of faculty at the rank of professor. At least one member of the Committee should be a fixed-term full professor. The fixed-term faculty do not vote on tenure decisions or promotion of tenured faculty. However, tenured faculty do vote on fixed-term appointments and promotions.

4. Quorum and (potential) conflict of interest

A quorum shall consist of the majority of the eligible voting SDSS APT Committee members for any given candidate, participating in-person, by video or conference call, or by email ballot after a minimum of 48 hours to review all documents relevant to a promotion, including preliminary reports prepared by other members of the SDSS APT Committee. A conflict of interest exists when an SDSS APT Committee member is related to a candidate who is being reviewed (e.g., spouse, partner, child, other relation). That individual should declare the relationship and not participate in voting. The individual should recuse themselves so that their vote does not become reported as an abstention. A potential conflict of interest may also exist when an SDSS APT Committee member has a close personal (e.g., family member) or professional relationship with a candidate (e.g., mentor, co-author, grant collaborator). In both these cases, the SDSS APT Committee member should disclose the relationship that exists with the candidate, so all SDSS APT Committee members are notified. The SDSS APT Committee member can be present for the presentation and discussion of the candidate, but only offer information after the discussion has been completed and if they are asked to contribute by an APT Committee member. All APT Committee members will be eligible to vote on the candidate after the review and discussion is completed.

5. Expedited timelines

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

B. Documentation for appointment, promotion and/or tenure

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

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

create a flag for reviewers. Letters that require additional revision after packages are reviewed by the School's APT Committee may slow the process.

3. Career Focus Statement

Each faculty member being recommended for promotion at the associate professor or full professor rank must include in their promotion package a career focus statement that indicates how they have had, and are likely to have, an impact on data science and society. As appropriate to the accomplishments, track, and rank of the individual, this should include numbers of publications, participation on national or international panels, invited and other national presentations, major interventions directed, policy and other changes accomplished, innovations in teaching or practice, books, media, or publications utilized in teaching or training, or peer-reviewed funding obtained. This listing is not all-inclusive. The statement should also describe the faculty member's future plans for research, practice/service, or teaching, and professional service and faculty engagement, as applicable.

Faculty should also provide a brief narrative description of their work that has affected inclusion, diversity, equity and access (IDEA).

4. Teaching Portfolio

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

5. Peer Review of Teaching

All tenure-track faculty members and fixed-term faculty members should have a peer review of teaching. Along with the Teaching Portfolio, two peer evaluations of teaching completed within 24 months prior to the submission of materials for reappointment or promotion should be included in the documentation. Peer evaluations should address the content, scholarly quality, and attention to practice and/or data science implications of the course being observed and the skill of the candidate in leading classes. Generally, this will be based on a discussion with the candidate, including review of the course syllabus, and a direct observation of the candidate interacting with students in class, even if done as part of online teaching. Peer review should be evaluated by an individual who is a full professor (either fixed-term or tenure-track) or an already tenured associate professor in the School or another unit in the University.

6. Letters from Independent external reviewers

General requirements for letters from external reviewers:

- a. The purpose of external letters is to provide an independent and unbiased assessment of the individual's national and international reputation or other qualifications for the proposed appointment. Therefore, the request to prospective writers of outside letters of evaluation should be phrased neutrally and should not solicit an affirmative response or recommendation. A copy of the letter that was used to solicit an evaluation of the candidate must be included in the dossier.

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

a) Tenured Appointments

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

- a. Two from a list of names provided by the candidate labelled “Candidate Selection”, and
- b. Two from a list of names selected by the Associate Dean for Faculty Affairs labelled “Dean’s Selection.”
- c. All letters should come from individuals who are recognized as leaders in the field of the candidate’s major work or focus. Traditionally, and ideally, letters should come from qualified individuals at other accredited academic institutions who are Full Professors*. However, we recognize that some faculty appointments and promotions are more policy or practice-focused, or teaching/mentoring-focused, or in a clinical role, where external letter writers might be highly qualified experts who are non-tenured individuals, or work in government or other comparable sectors at a professional rank that is considered equivalent to Full Professor in terms of experience and expertise. The Dean’s letter

proposing an appointment or promotion should clearly document the qualifications of external reviewers to comment knowledgeably on the qualifications of the candidate and address any questions that may emerge regarding reviewers' qualifications. Again, external letter writers must be able to speak to the qualifications of the candidate using the criteria established for promotion as described in the SDSS criteria. *NOTE: For fixed term reviews, a letter from a highly qualified, tenured Associate Professor may be acceptable as well.

b) Tenure-track Appointments -- Initial

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

c) Initial Tenure-track Appointments – Assistant Professor

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

d) Initial Tenure-track Appointments – Associate Professor

Occasionally cases occur in which individuals have been appointed to the rank of associate professor on the tenure-track without tenure awarded. In such cases, when being considered for tenure after the initial appointment, the career statement, and teaching portfolio should all be updated to reflect accomplishments following the initial appointment. At the discretion of the Associate Dean for Faculty Affairs and the candidate, however, some external letters in support of the initial appointment may be used to support the proposed award of tenure if they are dated within two years prior of the formal submission of the case to the School APT Committee. To put the strongest case forward for a tenure decision, letters that speak to the most recent teaching, research, and professional practice/service productivity are desirable.

e) Initial Tenured Appointments – Associate and Full Professor

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

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

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

- a. One from a list of names provided by the candidate

- b. One from a list of names selected by the Dean, as appropriate.
- c. All letters should come from individuals who are recognized as leaders in the field of the candidate's major work or focus. Traditionally, and ideally, letters should come from qualified individuals who are Full Professors*. However, the School recognizes that some faculty appointments and promotions are more policy or practice-focused, or teaching/mentoring-focused, or in a primarily clinical role, where external letter writers might be highly qualified experts who are non-tenured individuals, or work in government or other comparable sectors at a professional rank that is considered equivalent to Full Professor in terms of experience and expertise. The Dean's letter proposing an appointment or promotion should clearly document the qualifications of external reviewers to comment knowledgeably on the qualifications of the candidate and address any questions that may emerge regarding reviewers' qualifications. Again, external letter writers must be able to speak to the qualifications of the candidate using the criteria established for promotion as described in the SDSS criteria. *NOTE: For fixed term reviews, a letter from a highly qualified, tenured Associate Professor may be acceptable as well.

g) Initial Fixed Term Appointments – Assistant Professor

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

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

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

- a. One from a list of names provided by the candidate
- b. One from a list of names selected by the Dean, as appropriate.
- c. All letters should come from individuals who are recognized as leaders in the field of the candidate's major work or focus. Traditionally, and ideally, letters should come from qualified individuals who are Full Professors*. However, we recognize that some faculty appointments and promotions are more policy or practice-focused, or teaching/mentoring-focused, or in a primarily clinical role, where external letter writers might be highly qualified experts who are non-tenured individuals, or work in government or other comparable sectors at a professional rank that is considered equivalent to Full Professor in terms of experience and expertise. The Dean's letter proposing an appointment or promotion should clearly document the qualifications of external reviewers to comment knowledgeably on the qualifications of the candidate and address any questions that may emerge regarding reviewers' qualifications. Again, external letter writers must be able to speak to the qualifications of the candidate using the criteria established for promotion as described in the School criteria. *NOTE: For fixed term

reviews, a letter from a highly qualified, tenured Associate Professor may be acceptable as well.

i) Fixed-term Appointments for Promotion to Full Professor

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

- a. One from a list of names provided by the candidate and
- b. One from a list of names selected by the Dean.
- c. All letters should come from individuals who are recognized as leaders in the field of the candidate's major work or focus. Traditionally, and ideally, letters should come from qualified individuals at other accredited academic institutions who are Full Professors*. However, we recognize that some faculty appointments and promotions are more policy or practice-focused, or teaching/mentoring-focused, or in a primarily clinical role, where external letter writers might be highly qualified experts who are non-tenured individuals, or work in government or other comparable sectors at a professional rank that is considered equivalent to Full Professor in terms of experience and expertise. The Dean's letter proposing an appointment or promotion should clearly document the qualifications of external reviewers to comment knowledgeably on the qualifications of the candidate and address any questions that may emerge regarding reviewers' qualifications. Again, external letter writers must be able to speak to the qualifications of the candidate using the criteria established for promotion as described in the SDSS criteria. *NOTE: For fixed term reviews, a letter from a highly qualified, tenured Associate Professor may be acceptable as well.

j) Letters in Support of Joint Appointments

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

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

- a) Reappointments to assistant professor for a second probationary term of three years are reviewed by the School's APT Committee.*

All assistant professor reappointments on the tenure track are reviewed at the School level APT Committee, prior to being reviewed at the Provost level.

- b) No external letters are required for reappointments.*

- c) The following are required for requests for reappointment to assistant professor for a second probationary term of three years.*

- a. AP2 form

- b. Letter of Recommendation from the Dean detailing progress toward tenure
- c. Full curriculum vitae (in preferred order) (See Supplemental File 3)
- d. Teaching activities: List courses for the previous three years, number of students taught by section. Give names of graduate students supervised, thesis titles, and completion dates for degree work since employment at UNC-Chapel Hill. Undergraduate honors projects should be included as well.
- e. Teaching evaluations
- f. Career Focus Statement

d) *Reappointment is not guaranteed.*

Faculty proposed for reappointment should have documented solid accomplishments in scholarship, teaching, mentoring, and professional practice/service and be making good progress toward meeting School criteria for promotion to associate professor with tenure. Decisions about such reappointments may require consultation with the School's Senior Associate Dean, Dean, Provost, and, if appropriate, the Office of University Counsel.

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

8. *Administrative appointments*

a) *Internal appointments*

- a. The Dean recommends each Associate or Assistant Dean appointment and reappointment to the Executive Vice-Chancellor and Provost and approval by the Board of Trustees. They do not require the School's APT Committee review or approval. Official notification comes from the Chancellor to candidates.
- b. These are At-Will appointments, typically made for a term of up to 5 years.

b) *External appointments*

- a. Candidates recruited to UNC-Chapel Hill for new administrative appointments at the Full Professor rank will be subject to review and approval by the School's APT Committee, the Provost and BOT. Professor appointments carry tenure and must meet or exceed University and School requirements for appointments at that rank. As such, the package must include:
 - i. A letter of recommendation from the Dean to the Executive Vice Chancellor and the Provost. This process is established by the Provost's Office and is consistent across campus for administrative leadership appointments. As detailed in the description of letters in support of promotion, above, this letter must clearly indicate the criteria upon which the candidate is being recommended for appointment.

- ii. How the candidate meets criteria as specified above for a full professor appointment.
 - iii. Vote of assembled full professors (indicating the number of tenured faculty) on the candidate's appointment will be held (with explanations for abstentions and negative votes) and,
 - iv. What impact the candidate's work has had or is likely to have, on data science and society.
- b. Letters of recommendation from independent, external reviewers. On behalf of the Dean, and in consultation with search committee members and faculty, the chair of the search committee will solicit external letters from independent, impartial reviewers consistent with the description of outside letters in support of promotions on the tenure track, above.

All other documentation: Once letters of reference have been received, the SDSS HR Consultant will assemble all other documentation that is required for appointment to Full Professor as detailed above. The HR Consultant will then coordinate the review and voting process of the assembled full professors.

9. Joint appointments

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

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

appointment letter that is included in the dossier. For joint appointments conferring tenure, or on the tenure track, the process is the same as for full appointments in SDSS, though if SDSS is not the primary school the Dean may communicate the vote of the faculty to the primary unit and sign a joint letter.

10. Processing steps

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

11. Appeals

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

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

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

VII. Faculty Mentoring

Mentoring is a fundamental activity within the School and University and is intended to help and support faculty members as they develop their careers.

A. *Expectations of mentoring processes are as follows:*

1. *Orientation*

A School-wide orientation to SDSS and UNC-Chapel Hill resources, such as those for research, APT processes, communication, fundraising, and academic programs is organized each year for new faculty members by the Associate Dean for Faculty Affairs and the Human Resources Department.

2. *Establishing a mentoring system*

The Associate Dean for Faculty Affairs is responsible for supporting and establishing mentoring committees for junior faculty members. All assistant professors should have three or more formal mentors.

The Associate Dean for Faculty Affairs should discuss with each faculty member who is best suited to serve as their mentor(s). They should develop a mechanism for mentee evaluation of mentors.

3. *Specific individualized approaches*

Mentoring requirements for assistant and untenured associate professors are determined by the Associate Dean for Faculty Affairs and tailored to the needs of individual faculty members.

4. *Yearly review of faculty members*

Yearly faculty reviews should clearly document progress toward promotion. This should be conducted by the Associate Dean for Faculty Affairs. Yearly review should include full disclosure in writing and shared with the faculty member of any concerns about their likelihood of successful promotion, along with specific recommendations regarding remediation. For tenure-track assistant and associate professors (not yet tenured), there should also be an additional (or combined with Associate Dean for Faculty Affairs) annual meeting with the Dean that documents progress and any communications about lack thereof.

5. *Annual status report to the Dean*

A status report on every mentored faculty member will be provided by the mentoring committee to the Dean on a yearly basis.

6. *Faculty member meeting with the Associate Dean for Faculty Affairs at least 18 months prior to promotion*

At least 18 months prior to review for promotion from assistant professor to associate professor and from associate professor to full professor, the Associate Dean for Faculty Affairs should meet with the faculty member (alone or with other faculty mentor(s)).

- a. The faculty member should be given an individualized schedule indicating steps and materials expected for promotion and respective due dates and sources of information for use in assembling materials. This includes due dates for:
 - i. Potential names for external review letters;
 - ii. Faculty member's CV;
 - iii. Career focus statement including the impact of their work on improving diversity, inclusiveness and equity at the SDSS, the University, and/or the community;
 - iv. Teaching portfolio (including peer teaching review); and
 - v. Examples of scholarly products.
- b. The Associate Dean for Faculty Affairs should work with the Human Resources Team Lead to assist faculty members in preparing for the promotion process.
- c. Faculty members should be alerted to the importance of becoming familiar with policies and procedures included in this APT Manual and the University APT Manual.

7. Pre-review of faculty members' dossiers by the chair of the APT Committee and Senior Associate Dean for Faculty Affairs

Before advancing a promotion package, and after review by the Human Resources Consultant to the SDSS, the Associate Dean for Faculty Affairs and chair of the School's APT Committee review the promotion package and inform the Dean if they anticipate any problems with the promotion process. If at all possible, resolution of such issues should occur prior to advancing the candidate's promotion package to the School's APT Committee for its review and vote.

VIII. Post-Tenure Review

A. *Statement of Purpose:*

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

B. *General Policy:*

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

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

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

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

C. *Expectations of Faculty Members:*

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

Those who have advanced to the rank of professor may contribute to the SDSS and University's missions of educational excellence in varied roles, such as serving as a Dean, associate dean or a leader in engaged scholarship (e.g., through high-level positions in data science and policy-related agencies, institutions, or professional organizations). Such contributions are a noteworthy reflection of academic impact. Accordingly, time and energy spent in these commitments should be considered in assessments of faculty success. Expectations will be developed by the Dean and the Associate Dean for Faculty Affairs

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

D. Post-tenure Review Procedure:

1. Cycle of review, notice and participation

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

2. Composition of Post-Tenure Review committees

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

3. Information considered during PTR review process

- a. The PTR Committee review process will be conducted in a way that provides members of the PTR Committee relevant information concerning the faculty member's accomplishments and plans in teaching, research, professional practice/service (professional and faculty engagement) in relation to the missions of the School and University, at least over the last five years.
- b. Faculty members must provide the PTR Committee:
 - i. Curriculum vitae
 - ii. Current funding support for research and scholarly activity
 - iii. Five-year career statement/plan
 - iv. Teaching statement (maximum of 3 pages) and student course evaluations from previous three years
 - v. The Associate Dean for Faculty Affairs may also provide the PTR Committee with additional information that may be pertinent, including information developed during periodic merit reviews and information relating to the faculty member's ongoing work within the School or profession.
 - vi. The impact of their work on improving diversity, inclusiveness, and equity at the SDSS, the University, and/or the community.

4. Consultation between faculty members being reviewed, PTR Committees and the Associate Dean for Faculty Affairs

- a. As appropriate, faculty members being reviewed may meet with the PTR Committees and the Associate Dean for Faculty Affairs to discuss teaching, scholarship, service and other accomplishments.
- b. The PTR Committee will do the following:
 - i. Use all information provided by the faculty member being reviewed and the Associate Dean for Faculty Affairs in evaluating performance, as outlined in the three preceding sections: 1. Cycle of review; 2. Composition of PTR committee; 3. Information considered.
 - ii. Provide a written summary to the faculty member with assessment of overall performance and specific performance in pertinent categories of scholarship, teaching and mentoring, practice, service and engagement, and clearly specify if the faculty member meets, exceeds, or does not meet expectations (see Supplemental File 10). This summary should also include any recommendations for improvement and describe any substantial deficiencies in performance that should be addressed and articulated in a development plan.
- c. Faculty members being reviewed must be permitted to provide written responses to Committee reports. Based on such responses, the Associate Dean for Faculty Affairs may ask the Committee to reexamine its recommendations.
- d. The Associate Dean for Faculty Affairs will review the PTR Committee's report, the faculty member's response, if any, and applicable materials and provide her/his written review which is submitted to the Dean.

5. Recognition of outstanding performance

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

6. Disposition of reports

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

7. *Establishment and monitoring of development plan*

- a. For faculty members whose overall performance does not meet expectations, the report of the PTR Committee shall include a statement of the faculty member's primary responsibilities and specific descriptions of where performance does not meet expectations on teaching, research or service as they relate to the faculty member's assigned duties. In consultation with the faculty member, the Associate Dean for Faculty Affairs develops specific, measurable objectives for improvement.
- b. Faculty development plans are individualized to address areas where expectations are not met, taking into account the faculty member's intellectual interests, abilities and career stage, and school needs.
- c. The faculty development plan should describe changes, if any, to be made in the faculty member's teaching, research, or service responsibilities. The development plan should include: 1) measurable objectives/milestones and specify steps designed to achieve those objectives; 2) indicators of whether (or not) objectives have been attained; 3) a clear time frame for the completion of the objectives; 4) resources available to assist the faculty member in achieving the objectives; and 5) clarification of consequences of failure to meet stated objectives. Faculty members with a development plan should report on progress toward meeting stated objectives to the Associate Dean for Faculty Affairs on a quarterly basis, and annual progress reports on the plan are shared with the HR Team Lead and the Dean.
- d. Sometimes it is helpful to have peer support to achieve objectives in the development plan. The Associate Dean for Faculty Affairs and the faculty member should discuss the benefit of peer mentoring/support.
- e. Progress meetings between the faculty member with a development plan and the Associate Dean for Faculty Affairs must occur quarterly during the specified timeframe. A quarterly report that summarizes faculty progress made (or not made) on the development plan will be provided for the duration of the plan. The quarterly report is to be submitted to Human Resources within two weeks after the quarterly meeting with the faculty member and is to be reviewed by the Dean. A report that summarizes the progress over a year (e.g., all quarterly reports) is to be filed annually in the Provost Office that documents faculty who have a development plan, with review by the Associate Dean for Faculty Affairs and final sign-off by the Dean.
- f. If and when the faculty member has met the objectives specified in the development plan, the Associate Dean for Faculty Affairs shall acknowledge in writing a faculty member's successful completion of objectives in the development plan and forward that document to the Dean. This information will be updated in the annual report sent to the Provost Office.
- g. In the event that insufficient progress on objectives or other substantial deficiencies in performance continue at the end of one year, the Associate Dean for Faculty Affairs will notify the faculty member in writing, detailing the nature of continued deficiency. It is expected that communications between the Associate Dean for Faculty Affairs and faculty member will be ongoing, and that the Dean has been informed (having reviewed quarterly reports) if there is a lack of progress. Generally, discussions about a lack of progress also involve consultation with other appropriate campus offices, including the Provost's Office and the Office of University Counsel.

- h. In the event that a faculty member fails to successfully complete a development plan and performance continues to be deficient despite regular communication that includes the faculty member, the Associate Dean for Faculty Affairs and the Dean, in collaboration with the Provost or their representative, will consider whether there are grounds for demotion, dismissal, or other disciplinary action under the Tenure Policy. Dismissal or severe sanctions may be imposed only in accordance with and on the grounds stated in the Tenure Policy.
- i. Faculty members may grieve matters related to post-tenure review to the Faculty Grievance Committee under Section 607 of the Code of the University of North Carolina during their term of employment.

8. Recordkeeping

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

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

- a. Requests to delay an upcoming post-tenure review should be submitted to the Associate Dean for Faculty Affairs at least 12 months in advance to ensure timely processing of the request.
- b. The period of delay is subject to the Dean's approval.
- c. Requests must be in writing and specify the compelling reason(s) for the request to delay the review.
- d. Requests must then be conveyed with written justification from the Associate Dean for Faculty Affairs to the Dean whose approval shall be required for the request to be considered further.
- e. Requests approved by the Dean are then submitted to the Executive Vice Provost for review and approval. Once the request is reviewed, a written communication will be sent from the Provost's Office to the faculty member and the Dean indicating whether the request has been approved.
- f. If the request is approved, an action must be submitted with the Provost's Office letter attached, to finalize the change to the Post-Tenure Review date.

E. Reports and Appeals to the Dean

1. Annual reports

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

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

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

F. Records and Confidentiality

1. Maintenance of written records

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

2. Obligation of confidentiality

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