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## **Belk College of Business**

Policies and Procedures for Reappointment, Promotion, and Grant of Permanent Tenure

### **1.0 Introduction**

This document constitutes the Belk College of Business (BCOB) policies and procedures for the reappointment, promotion, and tenure of full-time faculty with rank of Assistant Professor, Associate Professor, or Professor. These policies and procedures are intended to supplement the University of North Carolina at Charlotte “Tenure Policies, Regulations, and Procedures” (hereinafter “TPRP”). Because laws and circumstances are always subject to change, the Provost’s Office should be consulted if any questions arise in interpreting or applying these policies and procedures. In the event of a conflict between this document and the TPRP on any issue, the terms of the TPRP shall have precedence. All recommendations or decisions made pursuant to these policies and procedures shall be made formally and in writing.

### **2.0 Reappointment, Promotion, and Tenure**

#### **2.1 Department Review Committee (DRC)**

##### **2.1.1 Duty**

Each department shall have a DRC that provides recommendations to its department Chair on reappointment, promotion, and tenure.

##### **2.1.2 Composition**

The DRC shall have at least three members (from within the department), all of whom must be full-time and have permanent tenure. Permanently tenured faculty members from other departments may be selected as voting members if necessary to constitute the committee. The DRC shall elect its chair.

No dean, department chair, or any other Faculty Member who has administrative responsibilities that include line authority to affect salary for, evaluation of, or dismissal of Faculty Members may serve on the DRC.

##### **2.1.3 Election/Appointment and Term**

Each department shall establish its own procedures for election of the DRC and shall specify the term of office of each member of the DRC.

#### **2.2 Belk College Review Committee (BCRC)**

##### **2.2.1 Duty**

The BCRC shall provide recommendations to the Dean on reappointment, promotion, and tenure.

### **2.2.2 Composition**

The BCRC shall be selected from full-time permanently tenured faculty of the college. Permanently tenured faculty members from other colleges may be selected as voting members if necessary to constitute the committee. The committee shall elect its chair.

### **2.2.3 Election**

Each department within The Belk College shall elect one eligible representative to the BCRC.

The election of the representatives from each department shall consist of at least two secret ballots. On the first (nominating) ballot, each full-time faculty member (holding professorial rank, as defined in Section 3.2 of the TPRP) of each department may enter the names of three (3) permanently tenured members of the department. The three leading candidates will be presented for election, again by secret ballot. The leading candidate on the second ballot will serve on the BCRC. The runner-up candidate will serve as an alternate member from that department.

The election of the at-large representative shall also consist of at least two secret ballots. On the first (nominating) ballot, each full-time member (holding professorial rank, as defined in Section 3.2 of the TPRP) of the Belk College faculty may enter the names of two permanently tenured members of the full-time Belk College faculty, excluding those faculty who will participate in the review process at another level. The two leading candidates will be presented for election, again by secret ballot. The leading candidate on the second ballot will serve on the BCRC. The second candidate will serve as alternate at-large member.

A faculty member who is facing a RPT personnel decision in the next term should not be a candidate for the BCRC in that term. In the event that a faculty member is recommended for promotion during his or her term of office on the BCRC, he or she shall excuse himself or herself from all reappointment, promotion, and tenure issues before the BCRC. In the event that an issue is before the BCRC that may involve a conflict of interest with any member of the BCRC, that member shall excuse himself or herself while that issue is before the BCRC. When a member cannot serve on the BCRC for reasons cited above or due to other causes, the alternate member shall serve on the BCRC.

A faculty member should not serve concurrently on more than one review committee (department or college). Where exclusivity is not possible, a faculty member serving on the college committee should not participate in the review process when the college committee is considering a case in which the member participated at the department level.

No dean, department chair, or any other Faculty Member who has administrative responsibilities that include line authority to affect salary for, evaluation of, or dismissal of Faculty Members may serve on the BCRC.

### **2.2.4 Term**

Each departmental representative and each departmental alternate shall, upon election or appointment, serve a term of two years and until his or her successor is elected or appointed. Each at-large representative and at-large alternate shall, upon election or appointment, serve a term of one year and until his or her successor is elected or appointed. In the event that a departmental representative is not able to complete his or her term, the departmental alternate will serve the remainder of the departmental

representative's term. If the alternate is not able to do so, the department will elect a representative to fill out the term.

### **3.0 Confidentiality**

Review committee members, either voting or nonvoting, shall treat as confidential personnel information all documents submitted or created in connection with the process of review for reappointment, promotion, or the conferral of permanent tenure, and the information contained therein, as well as information derived from any discussions that are part of the formal review process. Such confidential records and information shall not be disclosed to or discussed with any person except: (1) committee members and observers as provided in these policies; (2) those persons required or permitted to be consulted in accord with the requirements of department, college, or university policies; or (3) those persons permitted access to such documents by law. Violation of this section may expose any faculty member, including an administrator, to the imposition of serious sanctions, but only in accordance with the provisions of Section 8 of TPRP.

### **4.0 Permissible and Impermissible Grounds**

As specified in Section 6.2 of the TPRP, decisions pertaining to reappointment, promotion, and conferral of permanent tenure are, without further recourse, the responsibility of the officers of administration authorized to make them. Acting in accordance with procedures prescribed in TPRP such officers may take into account and use, in whole or in part, as the basis of their decisions, any factors deemed relevant to total institutional interests. Under no circumstances, however, shall a decision not to reappoint, not to promote, or not to grant tenure be based upon Impermissible Grounds or Material Procedural Irregularities as defined in Section 1 of TPRP, or from the exercise by the faculty member of rights of freedom of speech guaranteed by the First Amendment to the Constitution of the United States or by Article I of the Constitution of North Carolina.

### **5.0 Closed Sessions**

Any deliberations by a DRC or BCRC concerning appointment, reappointment, promotion, or permanent tenure for a particular faculty member shall be held in closed session, with only those present whom the committee deems necessary to its deliberations.

### **6.0 Channels of Review**

#### **6.1 Department Review**

The permanently tenured faculty members in the department, other than those who will participate in the review process at another level, who are at or above the rank for which a candidate is under consideration, shall be provided an opportunity to review the candidate's dossier and provide advice to the DRC. Evaluations of the candidate's dossier by the DRC and by the chair are intended to be separate and independent; however, the DRC may invite the department chair into its discussions if the DRC unanimously determines that doing so will assist in its deliberations.

The DRC shall submit its recommendation(s) and rationale(s) whether or not to reappoint, to promote, or to confer Permanent Tenure to the department Chair after considering the advice provided by such Permanently Tenured Faculty.

If the department chair's determination is positive on each action under review, he or she shall, after consulting with the assembled DRC, submit his or her determination and rationale, together with the recommendation(s) and rationale(s) of the DRC to the Dean.

If after consulting with the DRC, the department chair determines not to reappoint, promote, or confer Permanent Tenure for a Faculty Member under review, he or she shall meet with the Faculty Member to provide the Faculty Member with a copy of that determination and its rationale, and to explain the Faculty Member's right of rebuttal. Within ten days after this meeting, the Faculty Member may submit to the Dean and the Chair his or her written rebuttal to the Chair's determination. Upon receipt of the Faculty Member's rebuttal, or at the end of ten days after the Chair meets with the Faculty Member if the Faculty Member does not submit a rebuttal, the Chair shall submit his or her original letter of determinations and rationales, together with the recommendation(s) and rationale(s) of the DRC to the Dean.

The DRC will interview candidates being considered for a new appointment with tenure and/or review their credentials. The DRC will forward any recommendations concerning such appointment to the Dean. The DRC will not be involved with initial appointments unless tenure is being considered.

## **6.2 College Review**

After receipt of the determinations and rationales of the department Chair and the recommendations and rationales of the DRC, and the Faculty Member's rebuttal, if any, the Dean shall deliver such documents to the BCRC. The BCRC will review these recommendations to determine if they meet The Belk College standards as set forth below. The BCRC will forward its recommendations to the Dean in a timely manner.

If, after consulting with the assembled BCRC at a meeting at which a majority of its members are present, the Dean's determination is positive on each action under review for a Faculty Member, he or she shall submit his or her determinations and rationales together with the recommendations and rationales of the BCRC, and the DRC, the determination and rationale of the department Chair, and the Faculty Member's rebuttal, if any, to the Provost.

If, after consulting with the assembled BCRC at a meeting at which a majority of its members are present, the Dean determines not to reappoint, promote, or confer Permanent Tenure for a Faculty Member under review, he or she shall meet with the Faculty Member to provide the Faculty Member with a copy of that determination and its rationale, and to explain the Faculty Member's right of rebuttal. Within ten days after this meeting, the Faculty Member may submit to the Provost and the Dean his or her written rebuttal to the Dean's determination. Upon receipt of the Faculty Member's rebuttal, or at the end of ten days if the Faculty Member does not submit a rebuttal, the Dean shall submit his or her determinations and rationales together with the recommendations and rationales of the BCRC, and the DRC, the determination and rationale of the department Chair, and the Faculty Member's rebuttal(s), if any, to the Provost.

The BCRC will interview candidates being considered for a new appointment with tenure and/or review their credentials. The BCRC will forward any recommendations concerning such appointment to the Dean. The BCRC will not be involved with initial appointments unless tenure is being considered.

## **7.0 Guidelines for Evaluation of Faculty Performance**

### **7.1 General**

The Mission of the Belk College is to serve its constituents through the delivery of undergraduate and graduate programs in business administration and through the development and dissemination of new knowledge. To accomplish its mission, the faculty of the College engages in three major activities: teaching, intellectual contributions, and public service. The College

believes that scholarship informs teaching and, therefore, the College emphasizes both teaching and intellectual contributions. (See The Belk College of Business Mission Statement). Recommendations, determinations, and decisions on initial appointment, reappointment, promotion, or the conferral of Permanent Tenure shall be based upon an assessment of at least the following: (1) the Faculty Member's demonstrated professional competence; (2) potential for future contribution to The University of North Carolina at Charlotte; and (3) institutional needs and resources.

In accord with the Belk College mission, the three areas of professional activities that shall be evaluated in making reappointment, promotion, and tenure decisions are (1) teaching; (2) intellectual contributions, and (3) service.

All Belk College faculty are expected to meet and maintain academic and professional qualifications consistent with the Belk College of Business Mission Statement and other Belk College documents (see the Belk College "Policy Statement on Academic and Professional Qualifications," and the "Workload Policy"). It should be noted that the minimum standards for academic and professional qualification identified in these Belk College documents are not to be viewed as adequate for promotion and tenure decisions.

## **7.2 Faculty Performance and Documentation**

Performance in the three areas of professional activities should be measured by evaluating each faculty member's total contribution to the Belk College of Business and the University of North Carolina at Charlotte. Such evaluations require the exercise of sound judgment. The chair will provide each tenure track Faculty Member in the department's Professorial Ranks a letter each year that provides an evaluation of the Faculty Member's accomplishments during the previous year and that discusses the Faculty Member's progress toward achieving reappointment, promotion, or the conferral of Permanent Tenure, as appropriate. The letter should clearly and specifically address strengths and weaknesses in the performance of the Faculty Member, providing for a clear plan and timetable for improvement of any deficiencies in performance necessary for achieving reappointment, promotion or the conferral of Permanent Tenure. While ultimate decisions on reappointment, promotion, and the conferral of Permanent Tenure take into account many factors, not all of which are related to the Faculty Member's annual performance evaluation and related documents (e.g., faculty rebuttals to annual reviews), effective annual evaluations are intended to help to eliminate unexpected results in the comprehensive reviews supporting decisions on reappointment, promotion, and the conferral of Permanent Tenure. Guidelines for the annual performance review are detailed in the *UNC Charlotte Academic Personnel Procedures Handbook*.

Documentation of the faculty member's accomplishments in teaching, intellectual contributions, and service may include, but is not limited to, the items described in this section. A candidate's package containing this documentation is to be completed by September 10 in the academic year of their evaluation.

### **7.2.1 Teaching**

A candidate's portfolio of teaching contributions may include, but is not limited to the following:

Evaluations and reviews: student evaluations; annual evaluations; alumni evaluations; peer reviews; written comments from students and alumni.

Procedures for evaluations and reviews of teaching effectiveness:

- a. Student evaluations and formal methods of peer review shall be considered.

- b. Student evaluations shall be conducted at regular intervals (at least one semester each year) and on an ongoing basis.
- c. Peer review of faculty shall include direct observation of classroom teaching of new and non-tenured faculty.
- d. Appropriate and timely feedback from evaluations of performance shall be provided to those persons being reviewed.

Teaching load and level: course load; course level; class size; number of different courses taught; supervision of dissertations, theses, and independent studies

Teaching effectiveness: comparisons to national and/or departmental measures

Course content: syllabi; examinations

Awards and funding: funded teaching projects; teaching awards; nominations for teaching awards

Course and curriculum development, assessment, and improvement: curriculum development; course development; innovation in teaching or educational programs; research on instruction and pedagogy; course and program assessment, program development, development and implementation of new teaching techniques; fostering and facilitating teaching effectiveness of colleagues.

### **7.2.2 Intellectual Contributions**

Faculty members are expected to make intellectual contributions on a continuing basis that are appropriate to the Belk College Mission. The College recognizes three components of intellectual contributions: basic scholarship, applied scholarship, and instructional development. Basic scholarship involves the discovery and dissemination of new knowledge. Applied scholarship involves the application, transfer, and interpretation of knowledge to improve management practice and teaching. Instructional development involves the enhancement of the educational value of instructional efforts of the institution or discipline.

While all past intellectual contributions of the candidate will be considered, special attention will be given to intellectual contributions completed in the period since the candidate's last review for reappointment, promotion, and/or tenure.

A candidate's portfolio of intellectual contributions may include, but is not limited to the following:

Refereed publications: list of published work; copies of selected publications; quality of journals; acceptance rates of journals; quality of publications; quality of proceedings; acceptance rates for proceedings; quality of chapters in books, refereed research monographs.

Awards, grants, funding, and other recognition: research awards, funded research grants/proposals; quality of grant research proposals; professional citations

Editorial and review activities: service as journal editor or coeditor, letters of acknowledgement for service as a referee or reviewer for journals or conferences, reviews of books or chapters of books.

Refereed presentations: acceptance rate for paper presentations, quality and visibility of academic or professional meeting or conference.

Non-refereed publications and presentations: academic books, faculty workshops, panel presentations, widely disseminated course materials, non-refereed research monographs

Other research and scholarly activity: evidence of fostering and facilitating scholarly activity.

Research in progress: working papers, editor correspondence, manuscripts under review, grant proposals submitted, and others.

Joint authorship: Joint authorship allows faculty members the opportunity to utilize their diverse knowledge, talents, and background in the development of professional research, reports, papers, cases, articles, and books. In the documentation and presentation of professional research activities, all co-authors should be listed. Both sole and joint authorship is supported and encouraged.

External reviews:

Procedures for external reviews:

- a. External reviews must be used for promotion to Associate Professor, promotion to Professor, and conferral of permanent tenure.
- b. In addition to external review from faculty and/or administrators, external reviews may also be requested from persons employed by businesses, governmental units, or other organizations.
- c. The letters requesting external reviews for a non-administrative faculty member should be sent by the chairperson of the department. For administrative faculty members, the letters requesting external reviews should be sent by the Dean.
- d. The pool of external reviewers should be developed by the faculty member in cooperation with the department Chair. The faculty member should have a reasonable opportunity to strike names of potential external reviewers. The selection of external reviewers should be guided by the goal of obtaining independent and objective confirmation of a candidate's contributions and accomplishments. For example, reviews by co-authors or prior department heads would not normally be acceptable. The complete research section of the candidate's package should be sent to the external reviewers. Candidates may also request external reviews of teaching or service. The selection of external reviewers should be completed by July 1. Candidates should submit the material to be sent to the external reviewers to the Department Chair by July 10.
- e. The letters requesting the external reviews should state what is being requested of the external reviewer. The letters should be standardized across departments and should clearly indicate the nature of the personnel action being considered, such as promotion to the rank of Professor and the evaluation task to be performed by the reviewer. A copy of the signed letter sent to each external reviewer and a brief biography for the reviewer should be included in the candidate's packet.
- f. At least three external reviews of the faculty member's scholarly activity must be included as a part of the faculty member's promotion and/or tenure materials. These external reviewers shall all receive the same package of information and material.
- g. All external review letters received must be included in the candidate's packet at each level of the review process, including the DRC, the department Chair, the BCRC, and the Dean. The Dean will forward the external reviews to the Provost.

### **7.2.3 Service**

A candidate's portfolio of service contributions may include, but is not limited to the following:

Evaluations: evaluation of University, Belk College, and department service; student evaluations of instruction in continuing education programs

Professional contributions: contributions as an officer of a professional association; contributions to professional associations in a non-officer role;

Service contributions: contributions to voluntary organizations and government units; contributions to the media

Leadership: committee leadership; contributions as a committee member

Student contributions: contributions as an advisor to a student organization; student advising

#### **7.2.4 Additional Considerations**

Consulting is not listed separately as one of the activities for which promotion and tenure consideration will be given. It is expected, however, that any consulting activity that might be a factor in reappointment, promotion, and tenure decisions will contribute demonstratively to more effective teaching, to some form of scholarly activity, and/or to some type of service. This contribution may be demonstrated where appropriate.

### **7.3 Standards for Initial Appointment**

#### **7.3.1 Instructor**

To be qualified for initial appointment at the rank of Instructor, the person shall be a candidate for the appropriate terminal degree. An Instructor shall be appointed for a term of one year. Ordinarily, service as an Instructor should not exceed one year, and in no case shall an Instructor serve in this rank for more than two years. The College expects that an Instructor will complete all requirements for the terminal degree and be qualified for the rank of Assistant Professor within one year of the initial appointment. An Instructor who completes the requirements for the rank of Assistant Professor within the first year will be eligible to be considered for appointment to an initial four-year term as Assistant Professor at the beginning of the next academic year. Service as an Instructor shall not be included when computing the maximum seven-year period noted in Section 7.3.2 below.

#### **7.3.2 Assistant Professor**

The initial appointment of a Faculty Member at the rank of Assistant Professor shall be for a term of four years. Before the end of the third year of the initial appointment as Assistant Professor, the Faculty Member shall be reviewed for reappointment and shall receive written notice of reappointment at the same or higher rank or of nonreappointment.

An Assistant Professor who is reappointed at the same rank shall receive an appointment of three years. During and before the end of the second year of the second appointment as Assistant Professor, he or she shall be reviewed and given written notice of promotion to Associate Professor with conferral of Permanent Tenure or of nonreappointment. Permanent Tenure may not be awarded to a Faculty Member at the rank of Assistant Professor.

#### **7.3.3 Associate Professor**

With the written approval of the dean of the College and the concurrence of the Provost obtained in advance of the initiation of formal appointment procedures, an initial appointment to the rank of Associate Professor with Permanent Tenure may be recommended, to become effective upon the subsequent approval of the appointment through the procedures of Section 6.

When a Faculty Member's initial appointment by the institution is to the rank of Associate Professor without Permanent Tenure, the appointment is to a term of three to five years. During and before the end of the penultimate year of the appointment as Associate Professor, the Faculty Member shall be reviewed for Permanent Tenure and given written notice from the Provost that he or she will be reappointed with Permanent Tenure at the same or higher rank or of nonreappointment.



A Faculty Member promoted to the rank of Associate Professor must also be awarded Permanent Tenure.

An Associate Professor with Permanent Tenure shall be reviewed for promotion at least once every five years, unless the Faculty Member postpones this review for promotion in writing for a specified period not to exceed five additional years. This right to postpone the review for promotion shall not modify the requirement that all Tenured Faculty Members undergo a comprehensive review every five years pursuant to the “Tenured Faculty Performance Review Policy.” An Associate Professor with Permanent Tenure may not elect to postpone periodic reviews as required under the “Tenured Faculty Performance Review Policy.”

#### **7.3.4 Professor**

The initial appointment of a Faculty Member to the rank of Professor shall be either with Permanent Tenure or for a term of three to five years. If the initial appointment is without Permanent Tenure, the Faculty Member shall be reviewed for reappointment with Permanent Tenure and given written notice from the Provost, during and before the end of the penultimate year of the appointment, of reappointment with Permanent Tenure or of nonreappointment. A Faculty Member who is promoted to the rank of Professor shall have Permanent Tenure. Professors will be subject periodic reviews as required under the “Tenured Faculty Performance Review Policy.”

### **7.4 Standards for Reappointment and Promotion**

To be qualified for Professorial Rank (Assistant Professor, Associate Professor, and Professor), a person shall hold the appropriate terminal degree or present evidence of comparable professional distinction in his or her field. Prior professional experience shall be taken into account in determining initial rank and salary.

Appointment in a given department or unit shall not continue beyond seven years of experience in the Professorial Ranks at The University of North Carolina at Charlotte, unless a decision to award Permanent Tenure has been made during or before year six. However, in rare cases, an individual who has not been granted Permanent Tenure may subsequently be offered a Special Faculty Appointment in accordance with TPRP Section 3.4.

Notice of reappointment or nonreappointment shall be in writing from the Provost and shall be given not later than the end of the penultimate year of the current appointment. If the decision is not to reappoint, failure to provide written notice shall oblige the Chancellor thereafter to offer a terminal appointment of one academic year beyond the termination of the current appointment.

A Faculty Member may be considered for the conferral of Permanent Tenure or promotion with conferral of Permanent Tenure at times earlier than those specified in TPRP Section 3.

The standards for promotion and tenure in the Belk College of Business are ultimately driven by its Mission Statement. The Mission Statement of the College emphasizes teaching, research, and service contributions consistent with those of a research university. Candidates for promotion and/or tenure must demonstrate proficiency in teaching, research, and service. Inadequate performance in one area may not be compensated for by superior performance in others.

Decisions within the Belk College pertaining to reappointment, promotion, and conferral of permanent tenure are based on an evaluation of the candidate’s record of teaching, research, and service. This evaluation includes an assessment of the candidate’s established record at the time of the decision, as well as a forward looking assessment of the candidate’s future potential to continue to contribute along these three dimensions in a manner that will ultimately result in the

candidate attaining the rank of professor and continuing to contribute at a level that is worthy of this rank. When combining the assessments of actual performance and future promise, future promise cannot serve as a substitute for accomplished performance at the time of the decision; rather the established record must show promise of a trajectory that is sufficient to meet this ultimate goal.

#### **7.4.1 Reappointment as Assistant Professor**

To be reappointed as an Assistant Professor, a candidate must be an effective teacher, have academic research productivity consistent with a trajectory leading to promotion to the rank of Associate Professor and conferral of Permanent Tenure, and have an acceptable record of service.

#### **7.4.2 Promotion to Associate Professor and/or Conferral of Permanent Tenure**

To be granted promotion to Associate Professor and/or Permanent Tenure, a candidate must be an effective teacher, have publications of high quality articles in leading academic journals consistent with a trajectory leading to promotion to the rank of Professor, and have a record of quality service.

#### **7.4.3 Promotion to Professor and/or Conferral of Permanent Tenure**

To be granted promotion to Professor and/or Permanent Tenure, a candidate must be an effective teacher, have a national or international reputation within the discipline established by sustained publication of high quality articles in leading journals consistent with the department and college missions, and have a record of high quality service.