

Department of Economics Supplemental Faculty Personnel Guidelines
(Approved by the Department of Economics Faculty, September 1, 2017)

The Department of Economics (hereafter, “Department”) follows the Walker College of Business (hereafter, “College”) Faculty Personnel Guidelines approved by WCOB faculty on January 15, 2016.¹ This document serves as a supplement to the *College Faculty Personnel Guidelines* with the purpose to clarify and make specific the expectations for the Department. Economics faculty should consult the *College Faculty Personnel Guidelines* and Appalachian’s *Faculty Handbook* for information on the broader considerations, structures, and procedures.

I. REAPPOINTMENT, PROMOTION AND TENURE

The *Faculty Handbook*, section 4.4.2, states:

The decision to reappoint, promote or tenure a faculty member may be based on any factor(s) considered relevant to the total institutional interests, but those responsible for making the decision must consider the faculty member’s demonstrated professional competence, potential for future contribution, and institutional needs and resources. A decision not to reappoint, promote or tenure may not be based upon (1) the faculty member’s exercise of rights guaranteed by either the First Amendment to the United States Constitution or Article I of the North Carolina Constitution; (2) unlawful discrimination based upon the faculty member’s race, color, national origin, religion, sex, gender identity and expression, political affiliation, age, disability, veteran status, genetic information or sexual orientation; or (3) personal malice. For purposes of this section, the term “personal malice” means dislike, animosity, ill will, or hatred based on personal characteristics, traits or circumstances of an individual that are not relevant to valid University decision making. See UNC Policy 101.3.1 II.B. for details.

The Department sets high standards for reappointment, promotion and tenure. To be granted tenure and promotion to Associate Professor, tenure-track faculty are expected to establish clear evidence of professional competence, strong potential for future meaningful scholarship, effective classroom instruction, and constructive participation in departmental and institutional affairs. To achieve promotion to Professor, faculty members are expected to have fulfilled the expectations associated with receiving tenure.

I.A. Reappointment of Tenure-Track Faculty

Tenure-track faculty in the Department on a ‘4-3 contract’ sequence will be evaluated by the Promotion and Tenure Committee (PTC) at the time of the contract renewal recommendation. Reappointment requires satisfactory progress towards meeting expectations for tenure (see section I.B herein). The faculty member will be given written feedback from the PTC on their status toward meeting expected progress towards tenure. Per the WCOB Faculty Personnel Guidelines (Section I.B Career Development, Tenure, and Promotion, p. 7), “*the receipt of satisfactory annual performance evaluations is necessary, but not sufficient, for positive recommendations with regard to promotion and tenure.*” Additionally, it should be emphasized that contract renewal is not sufficient for, and is no assurance of, a positive tenure decision.

¹ https://business.appstate.edu/sites/business.appstate.edu/files/asu_page/APPROVED-WCOB-Faculty-Personnel-Guidelines-JAN-15-2016.pdf

I.B. Tenure and Promotion to Associate Professor

The American Association of University Professors (AAUP) established the modern concept of tenure in U.S. higher education with the 1940 *Statement of Principles on Academic Freedom and Tenure*. The 1940 *Statement* was jointly formulated and endorsed by the AAUP and the Association of American Colleges and Universities (AAC&U) and has gained the endorsement of more than 250 scholarly and higher education organizations. The statement is widely adopted into faculty handbooks at institutions of higher education throughout the United States.

AAUP summarizes the purpose and benefit of tenure with the following statement:²

The principal purpose of tenure is to safeguard academic freedom, which is necessary for all who teach and conduct research in higher education. When faculty members can lose their positions because of their speech or research findings, they cannot properly fulfill their core responsibilities to advance and transmit knowledge.

Education and research benefit society, but society does not benefit when teachers and researchers are controlled by corporations, religious groups, special interest groups, or the government. Free inquiry, free expression, and open dissent are critical for student learning and the advancement of knowledge. Therefore, it is important to have systems in place to protect academic freedom. Tenure serves that purpose.

The UNC GA endorses the purpose of tenure is academic freedom with the following statement (Code of UNC, Section 602):

To promote and protect the academic freedom of its faculty, the board of trustees of each constituent institution shall adopt policies and regulations governing academic tenure.

The Department adheres to the principle that the fundamental purpose of academic tenure is to protect academic freedom for the greater good. It follows that tenure is intended to protect future teaching, research, engagement and service, with the intended beneficiary being society rather than the individual faculty member. Therefore, in order to achieve tenure and promotion, the Department expects tenure-track faculty to establish clear evidence that they have the professional competency and personal commitment to contribute to the greater good throughout their career with excellence in instruction, impactful scholarship, and meaningful service to the Department, institution and profession.

Though tenure is not a reward for past performance, a candidate's past record serves as an important source of evidence in the assessment of professional competency and potential future contributions. Other sources of evidence include any items considered relevant to the assessment of the candidate's demonstrated professional competence, potential for future contributions, commitment to effective teaching, research, public service, and the needs and resources of the institution (Faculty Handbook, Section 3.7.2; Code of UNC, Section 602(4)).

The Department recognizes the importance of the tenure decision for the individual, Department and institution. The candidate bears the burden of establishing his or her case for tenure. When making a positive recommendation for tenure, the Department will determine that the candidate conclusively satisfies tenure standards and deserves a permanent appointment. A positive recommendation to confer tenure must include strong, detailed evidence supporting the claims that the candidate's teaching, research, and service satisfy the following departmental guidelines.

² <https://www.aaup.org/issues/tenure>; accessed 22 March 2017.

I.B.1. Teaching

I.B.1(a). *The Department looks for evidence of excellence in classroom instruction.* Such evidence may include, but is not limited to, the quality of syllabi and lectures, the use of effective instructional methods and assessment tools, the development and/or use of innovative pedagogical methods, positive peer reviews of teaching, student evaluations that indicate effectiveness in teaching, and recognition/awards for excellence in instruction.

I.B.1(b). *The Department looks for evidence that the candidate will be committed to continued improvement in classroom effectiveness.* Such commitment may be demonstrated by ongoing actions to improve instructional effectiveness, including revising syllabi and course designs, updating lecture material, experimenting with new pedagogical methods, among other things.

I.B.1(c). *The Department looks for evidence that the candidate is committed to student learning.* Evidence includes instructional activities beyond the classroom that contribute to student learning, including holding regular office hours, being available to students outside of class meetings, and supervising independent studies, honors theses and undergraduate research.

I.B.2. Research

There is no simple number or formula summarizing the criteria for research, but the departmental workload policy offers guidance on what constitutes a strong research record. Generally, the Department is looking to tenure candidates who can achieve and maintain an ongoing research program throughout their career that corresponds to 'research productive' status as defined by the workload policy. Achieving or not achieving this record prior to the tenure decision does not determine the tenure decision alone; rather the candidate's past record will be considered in conjunction with all relevant evidence that speaks to the following tenure criteria:

I.B.2(a). *The Department looks for evidence that the candidate will enhance the department's research standing.* Quantity and quality of scholarly contributions matter, but while quality can offset quantity, quantity does not offset quality. The primary source of evidence will be peer-reviewed articles in recognized journals. Evidence of quality will include, among other things, journal rankings, citation counts, co-authorship, peer reviews of papers, and related awards/recognitions.

I.B.2(b). *The Department looks for evidence that the candidate possesses the professional competence to conduct scientifically sound research.* Sources of evidence may include, among other things, achieving an independent research agenda, making core contributions to peer-review articles, displaying intellectual and technical skills when presenting research, and providing feedback on colleagues' working papers.

I.B.2(c). *The Department looks for evidence that the candidate will maintain an on-going productive research program throughout his or her career.* Evidence for a strong potential for future research includes a well-established pipeline of new projects, working papers, manuscripts under review and publications. Other sources of evidence will include anything that speaks to the level, consistency and trajectory of a candidate's general research interest and activity, such as department engagement, academic presentations, and efforts to secure internal and external research funding.

I.B.3. Service

I.B.3(a). *The Department looks for evidence that the candidate will be an engaged and contributing member of the Department during their career. Supporting evidence includes, but is not limited to, a demonstrated willingness to (i) constructively participate in departmental meetings, seminars and committees; (ii) represent the department at college events and on college committees as needed; and (iii) positively contribute to the advancement and general welfare of the Department, institution and profession.*

I.C. Promotion to Professor

In considering promotion to the rank of Professor, the Department looks for evidence that the candidate has fulfilled the expectations associated with receiving tenure. The Department will focus on the candidate's accomplishments since the award of tenure. Time served in the rank of Associate Professor is not sufficient cause for promotion.

To receive promotion to Professor, the candidate *must* have (i) maintained effectiveness in instruction since receiving tenure, (ii) achieved a scholarly record of distinction in the discipline, and (iii) exhibited leadership by making service contributions at all levels of the institution (i.e., Department, College and University). Moreover, the candidate *should* have made meaningful service contributions to the discipline or broader academy or impactful engagement with the community, region, state or some aspect of the public.

II. ANNUAL PERFORMANCE

II.A. Instruction

Economics faculty should consult Section I.D.1 of the College guidelines, which describes the requirements for “meeting minimum expectations” and for “exceeds expectations” in instruction.

II.B. Intellectual Contribution

Section I.D.2 of the College Faculty Personnel Guidelines states:

To meet minimum expectations, performance evaluation in the area of intellectual contribution will be based on a faculty member's tangible output in the most recent five-year period. Subject to these college guidelines, each department will set standards with regard to quality and quantity of intellectual contribution needed to meet minimum expectations. Department standards must be sufficiently rigorous to assure that a faculty member maintains his/her “scholarly academic” status as defined in AACSB standards and college guidelines. Meeting annual minimum expectations in intellectual contribution is a necessary, but not sufficient, component in merit compensation, promotion, and tenure decisions.

The Department standard for “meeting minimum expectations” in the annual performance review is “scholarly academic” (SA) status as defined in the College “Standards for Faculty Sufficiency & Faculty Qualifications” (September 2015). Economics faculty who are not SA do not meet minimum expectations for intellectual contributions.

The Department standard for “exceeds expectations” in the annual performance review requires more than meeting minimum expectations. Faculty members will “exceeds expectations” if, during the annual reporting period, have maintained an active research agenda and one of the following: (i) multiple publications in Level 4+ journals, (ii) a publication in Level 2+ journal, (iii) significant grant activity, or (iv) something objectively special happened (i.e., received a research award). Faculty members may “exceed expectations” if they have research activity and outcomes during the annual review period that is consistent with exceeding ‘*research productive*’ status as defined by the Department Workload Policy.

II.C. Service

Section I.D.3 of the College Faculty Personnel Guidelines states:

Each faculty member in the College of Business is expected to participate in the affairs and activities of the department, college, and university. Some examples of basic opportunities for participation include: (1) attending and participating constructively in the deliberations of departmental and general faculty meetings, (2) attending commencement and convocation ceremonies, (3) attending Boyles Lecture Series activities, and (4) participating on an as-needed basis in other activities (i.e., Open House, Parents Weekend).

Departmental guidelines will be established to ensure adequate departmental representation at each of the above activities. Failure to regularly participate in these activities at the minimum level specified in departmental guidelines will preclude the meeting of expectations, regardless of other service activities in which the faculty member engages.

The Department standard for “meeting minimum expectations” in the annual performance review includes regularly attending Department and College faculty meetings, actively serving on formal committees and as organization/club advisor as needed, constructively participating in departmental affairs, regularly attending seminars, and attending at least one of the following opportunities in any academic year: (i) fall commencement, (ii) spring commencement, (iii) fall open house, (iv) spring open house or (v) other visible event on an as-needed basis. Economics faculty members who do not attend and fully participate in at least one of these opportunities do not meet minimum service expectations without exceptional performance in other service activities.

The Departmental standard for “exceeding expectations” in the annual performance review requires more than meeting minimum expectations. To exceed expectations, the faculty member must satisfy minimum standards plus contribute to the Department in one of the following ways: (i) carry a distinct formal service overload appropriate for rank, (ii) be willing to undertake new preparations to accommodate the teaching needs of the Department, (iii) provide meaningful professional engagement to the community, region, or some aspect of the public, (iv) contribute significant service to the discipline or broader academy, or (v) any other significant contributions that support the Department’s teaching, research or service activities. The Department recognizes that tenure and time in rank affects the expectations of service.

III. POST TENURE REVIEW

The Faculty Handbook, section 4.7.2, states:

In addition to the annual review for all faculty, described in section 4.3.2, each tenured member of the teaching faculty will be subject to a comprehensive, cumulative review on a regular and systematic basis, no less frequently than every five years. A review undertaken to decide on promotion qualifies as such a cumulative review. This comprehensive review shall provide for the evaluation of all aspects of

the professional performance of faculty, whose primary responsibilities are teaching, and/or research, and/or service. If faculty responsibilities are primarily in one or two of these areas, post-tenure review and resulting recommendations should take this allocation of responsibilities into account. Faculty performance will be examined relative to the mission of the University, college, and program.

The Faculty Handbook, section 4.7.7, states:

After review of submitted materials, the post-tenure review committee shall provide to the faculty member being reviewed and the departmental chair a one page summary concerning its evaluation and shall designate the faculty member's performance as "exceeds expectations," "meets expectations," or "does not meet expectations."

The Department of Economics Post-Tenure Review Guidelines follow:

Tenured faculty in the Department will be evaluated by the Post-Tenure Review (PTR) committee with procedures and schedules consistent with section 4.7.2 of the Faculty Handbook.

The Department's standard for "meets expectations" in the post-tenure review is performance over the review period that generally satisfies "meeting expectations" as defined by the annual performance standards. To meet expectations, faculty members should generally meet expectations in all three areas of instruction, research and service. Faculty members who repeatedly fail to meet expectations in one or more areas do not meet expectations in the post-tenure review.

The Department standard for "exceeds expectations" in the post-tenure review is performance that generally satisfies "exceed expectations" as defined by the annual performance standards. To exceed expectations, faculty members should generally exceed expectations in two of the three areas of instruction, research and service. From section 4.7.2 of the Faculty Handbook, "*exemplary faculty performance will be recognized and rewarded*".