

REGULATIONS ON ACADEMIC FREEDOM, TENURE AND DUE PROCESS

PREPARED IN ACCORDANCE WITH THE PROVISIONS IN THE THE UNIVERSITY OF NORTH CAROLINA CODE, JANUARY, 1999

Approved by the Board of Trustees on April 19, 2004

SECTION 1. FREEDOM AND RESPONSIBILITY IN THE UNIVERSITY COMMUNITY

- A.** North Carolina Agricultural and Technical State University is dedicated to the transmission and advancement of knowledge and understanding. Academic freedom is essential to the achievement of these purposes. This institution therefore supports and encourages freedom of inquiry for faculty members and students, to the end that they may responsibly pursue these goals through teaching, learning, research, discussion, and publication, free from internal or external restraints that would unreasonably restrict their academic endeavors.
- B.** North Carolina Agricultural and Technical State University shall protect faculty and students in their responsible exercise of the freedom to teach, to learn, and otherwise to seek and speak the truth.
- C.** Faculty and students of this institution shall share in the responsibility for maintaining an environment in which academic freedom flourishes and in which the rights of each member of the academic community are respected.

SECTION 2. ACADEMIC FREEDOM AND RESPONSIBILITY OF FACULTY

- A.** It is the policy of North Carolina Agricultural and Technical State University to support and encourage full freedom, within the law, of inquiry, discourse, teaching, research, and publication for all members of the academic staffs of this institution. Members of the faculty are expected to recognize that accuracy, forthrightness, and dignity befit their association with this institution and their position as men and women of learning. They should not represent themselves, without authorization, as spokesmen for North Carolina Agricultural and Technical State University.
- B.** North Carolina Agricultural and Technical State University will not penalize or discipline members of the faculty because of the exercise of academic freedom in the lawful pursuits of their respective areas of scholarly and professional interest and responsibility.

SECTION 3. ACADEMIC TENURE

A. In General

Academic tenure refers to the conditions and guarantees that apply to a faculty member's employment. More specifically, it refers to the protection of a faculty member against involuntary suspension or discharge from employment or reduction in rank by North Carolina Agricultural and Technical State University except upon specified grounds and in accordance with the procedures provided in Section 4 of these regulations or against termination of employment except as provided for in Section 6.

The intended purposes of according the protection of academic tenure to faculty members are to secure their academic freedom and to help the institution attract and retain faculty members of the high quality it seeks. While academic tenure may be withheld on any grounds other than those

specifically stated to be impermissible under Section 5. A, its conferral requires an assessment of the faculty member's demonstrated professional competence; his potential for future contributions; his commitment to effective teaching, research, or public service; and the needs, resources, and the mission of the institution.

B. In Relation to Faculty Ranks

Academic tenure, as herein defined, pertains exclusively to the employment of faculty members by appointment to specified faculty ranks. Such appointments may be for fixed terms of employment, automatically terminable when they expire ("fixed term appointment"); or they may be for probationary terms ("probationary term appointment"); or they may be continuous until retirement¹, death, or resignation ("appointment with permanent tenure").

The faculty ranks to which appointments may be made and the incidents of academic tenure applicable to each are:

- (1) **Instructor.** The rank of instructor is appropriate for one who is appointed to the faculty in the expectation that he/she will progress toward the professorial rank (assistant professor, associate professor, or professor) but lacks, when appointed, one or more qualifications expected by his/her department² or school for appointment to professorial rank. When he/she meets all those qualifications, the faculty member will be considered for promotion to assistant professor and then either promoted or given timely notice of non-reappointment.

The initial appointment to the rank of instructor is for a probationary term of one year. The instructor may be reappointed successively for six additional one-year terms, or a total of seven such terms. At least 90 days before the end of the first term and 180 days before the end of the second consecutive term, the instructor shall be given written notice whether, when his current term expires, he will be reappointed to the rank of instructor for another term, promoted to the rank of assistant professor, appointed to a fixed term as provided in Section 3. B (5), or not reappointed. During the last 180 days of the second consecutive year of employment, the institution may notify the instructor that his employment will be terminated at the end of the third year of employment. Before the end of the third consecutive term, the instructor who has not been notified that his employment will be ended in that year as provided in the preceding statement shall receive written notice whether, when his current term expires, he will be reappointed to a fourth consecutive term, promoted to the rank of assistant professor, appointed to a fixed term as provided in Section 3. B (5), or offered a terminal one-year appointment at the end of the current term. Decisions shall be made with respect to these same options before the end of the fourth, fifth, and sixth consecutive terms. No reappointment to the rank of instructor may be made after seven consecutive years of employment at that rank. The failure to give the required notice of a decision not to reappointment at any point herein required has the same effect as a decision at that time to offer a terminal appointment at the same rank for one academic year. The decisions herein required shall be made as provided in Section 3. D.

Promotion at any time from the rank of instructor to that of assistant professor constitutes

¹ Retirement for reasons of disability shall be in accordance with North Carolina Statutes and regulations governing retirement for faculty who are members of the state retirement system. A faculty member who is not a member of the state retirement system and who is mentally or physically disabled, but refuses to retire, may be discharged because of that disability only in accordance with the procedures of this section.

² "Department" is used herein as a generic term for departments, professional schools, the library, and any other academic units to which faculty reappointments are made; "chairperson," as a generic term for department chairperson, deans of professional schools, director of the library, and any other heads of academic units to which faculty reappointments are made.

an initial appointment at the latter rank, with the incidents described in Section 3. B (2).

- (2) **Assistant Professor.** The initial appointment to the rank of assistant professor shall be for a probationary term of two years. Unless at any point the assistant professor is not reappointed, he will be reappointed to a second two-year term and then to a three-year term before a decision is made to recommend permanent tenure at the same or higher rank or not to reappoint.

At least 180 days before the end of the first two-year appointment, the assistant professor shall receive written notice whether he will be reappointed at that rank for a two-year term or not reappointed when his current term expires. At least 180 days before the end of the second consecutive two-year appointment, the assistant professor shall receive written notice whether he will be reappointed at the rank of assistant professor for a three-year term or not reappointed when his current term expires. Before the end of the second year of the three-year term, the assistant professor shall receive written notice indicating whether he will be reappointed when his current term expires, recommended for permanent tenure at the same or higher rank, or not reappointed. If the assistant professor is reappointed with permanent tenure at the same rank, his status shall be reviewed at least once every three years.

The failure to give the required notice of a decision not to reappoint at any point herein required has the same effect as a decision at that time to offer a terminal appointment at the same rank for one academic year. The decision herein required shall be made as provided in Section 3. D.

Promotion at any time from the rank of assistant professor to that of associate professor (without conferral of permanent tenure) constitutes an initial appointment to the three-year term at the latter rank, with the incidents described for that term in Section 3. B (3).

- (3) **Associate Professor.** When a faculty member's initial appointment by the institution is to the rank of associate professor, the appointment is to a probationary term of two years. Unless at any point the associate professor is not re-appointed, he will be re-appointed to a three-year term before a decision is made whether to recommend permanent tenure at the same or higher rank or to give notice of a terminal one-year appointment. At least 180 days before the end of the two-year appointment, the associate professor shall receive written notice of whether, when his current term expires, he will be reappointed at the rank of associate professor for a three-year term or not reappointed. Before the end of the second year of the three-year term, the associate professor shall receive written notice whether, when his current term expires, he will be recommended for permanent tenure at the same or higher rank or not be reappointed.

The failure to give the required notice of a decision not to reappoint at any point herein required has the same effect as a decision at that time to offer a terminal appointment at the same rank for one academic year. The decision herein required shall be made as provided in Section 3. D.

A promotion at any time from the rank of associate professor to the rank of professor confers permanent tenure from the effective date of the promotion. Both the President and the Board of Governors must approve this action since the promotion confers tenure.

- (4) **Professor.** When a faculty member's initial appointment by the institution is to the rank of professor, the appointment is to a single probationary three-year term. Before the end of the second year of the three-year term, the professor shall receive written notice whether, when his current term expires, he will be recommended for permanent tenure or not be reappointed.

The failure to give the required notice of a decision not to reappoint herein required has the same effect as a decision at that time to offer a terminal appointment at the same rank for one academic year. The decision herein required shall be made as provided in Section 3. D.

- (5) **Special Faculty Reappointments.** Appointments may be made to fixed term faculty ranks with title designations "lecturer," "artist in residence," "writer in residence," and any faculty rank designation provided in paragraphs (1) through (4) of this subsection with the prefix-qualifier "adjunct," "clinical," or "research" under the conditions and with the incidents herein provided. Such an appointment, using any of the foregoing title designations, is appropriate for one who has unusual qualifications for teaching, research, academic administration, or public service, but for whom neither the professorial ranks nor the instructor rank is appropriate because of the limited duration of the mission for which the appointment has been made or because of concern for continued availability of special funding for the position, or for other valid institutional reasons.

Initial appointments may be for a fixed term of from one to three years. Subsequent appointments to fixed terms of from one to five years duration may be made either in direct succession or at intervals. Each is considered an initial appointment. North Carolina Agricultural and Technical State University is not obliged to give any notice before a current term expires as to whether appointment will be offered for a succeeding term. Thus, the specification of the length of the appointment shall be deemed to constitute full and timely notice of non-reappointment when that term expires. But the appropriate school dean or division director, upon the faculty member's written request made not later than 90 days before a current term expires, shall within 20 days after he received the request give the faculty member a written decision whether an offer of reappointment will be made and, if so, its terms. Failure to communicate a decision constitutes notice that no offer will be made. The decisions herein required shall be made as provided in Section 3.D.

C. Committees of the Faculty - Elected

Any faculty member appearing before any committee at the University, which will make a decision or recommendation concerning that faculty member, has the right to an impartial consideration. Faculty have the right to challenge the participation of a committee member based on a showing of a conflict of interest that may affect the impartiality of that committee member. Such challenges should be made before the committee in question. That committee must decide by majority vote the validity of the challenge before consideration is given to the issue before the committee.

An applicant for promotion who is serving on the promotion and tenure committee may not participate in the deliberation on his/her application.

1. Faculty Reappointments, Promotions, and Tenure - University

The University Committee on Reappointments, Promotions, and Tenure is responsible for reviewing all recommendations from all Schools/Colleges and Library Services with respect to reappointments, promotions, and tenure and shall recommend appropriate action to the Vice Chancellor for Academic Affairs. The University Committee on Reappointments, Promotions, and Tenure shall consist of thirteen (13) faculty members, each of whom shall have permanent tenure and shall be elected by the

School/College faculty from the following professorial ranks: professor, associate professor, and assistant professor. No department chairperson, division director, School/College dean, or other administrative officer may serve on this committee.

This review is for the purpose of judging the professional qualifications of the applicant in relation to the published University standards. In relation to applications for tenure, this review is to determine whether a positive recommendation concerning the application is consistent with the current University goals. In regards to application for promotion, the University Committee is to review the applicant’s professional qualifications in relation to the comparability of qualifications with previous applicants and consistency with those at the same rank throughout the University.

The Committee shall elect from its membership a chairperson, a vice chairperson, and a secretary.

The number of Committee members allotted to each School/College and the Library staff is as follows:

SCHOOL OR UNIT	NUMBERS OF MEMBERS
Arts and Sciences	3
Education	1
Agriculture	1
Business & Economics	2
Engineering	2
Nursing	1
Library	1
Technology	2
	13

2. Faculty Reappointments, Promotions, and Tenure - School/College

Each School/College Committee on Faculty Reappointments, Promotions, and Tenure is responsible for reviewing all recommendations from departments within the School/College with respect to the academic merits of the faculty member and taking into consideration the criteria which are published in other parts of the Handbook (specifically Appendices C and G) and the current published standards for reappointments, promotions and tenure of the School/College. The committee shall then recommend to the School/College dean appropriate action with respect to reappointments, promotions, and tenure.

The review of this Committee is restricted to the evaluation of the faculty member's application with respect to satisfying the criteria for reappointment, promotion, and tenure. The scope of this review is limited to the professional qualifications, professional performance, and potential professional contributions to the University. The professional Library staff is excluded from this requirement.

Each School/College Committee on Faculty Reappointments, Promotions, and Tenure shall consist of a minimum of five (5) faculty members (where numbers permit). The selection of Committee members shall be within the province of the faculty of the School/College. Each committee member shall have permanent tenure and shall be elected by the School/College faculty from the following professorial ranks: professor, associate professor, and assistant professor. If the number of departments in the School/College is less than five, each department will have at least one representative on the committee. If the number of departments is more than

five, no department shall have more than one representative on the committee. The committee must have an odd number of members. No department chairperson, division director, School/College dean, or other administrative officer may serve on this committee.

The Committee shall elect from its membership a chairperson, a vice chairperson, and a secretary.

If the School/College Committee on Faculty Reappointments, Promotions and Tenure, and the dean, need further information related to the applicant, they should consult a source qualified to provide the required information.

3. Faculty Reappointments, Promotions, and Tenure - Department

Each department within a School/College shall have a Committee for Reappointments, Promotions, and Tenure that is responsible for reviewing all applications for Reappointments, Promotions, and Tenure from within the department. The Committee shall use the criteria published in the Handbook (Appendices C and G), and the current published standards for Reappointments, Promotions, and Tenure of the department for its review. The Committee shall be comprised of the department chairperson and a maximum of six tenured faculty members who shall be elected by the department faculty from the following professorial ranks: professor, associate professor, and assistant professor. If the department has more than six tenured faculty, six candidates will be elected by the departmental tenured and tenure-track faculty. In the case of small numbers, the Committee may contain four or a minimum of two tenured faculty members, excluding the chairperson. This number must always be even. If the department does not have two tenured faculty members to serve on the Committee, tenured and tenure-track faculty of the department will elect one or two eligible tenured faculty from other departments in their School/College to serve on their departmental Committee. The department chairperson will participate in the evaluation of all other departmental applications except his/her own. For the evaluation of the department chairperson, an alternate tenured faculty member will be elected from the eligible tenured faculty of the department or of the other departments in the School/College. The Committee shall elect a chairperson from its membership.

4. Further Guidelines for RPT Committees

The following additional guidelines are provided for the faculty Reappointments, Promotions and Tenure committees at all three levels, i.e., University, School/College, and Department.

- Where numbers permit, all committee members will be elected to two-year terms.
- The terms of the committee members will be staggered so that approximately half of the committee members will be newly elected each year.
- Where numbers permit, each member will be allowed to serve a maximum of two consecutive terms.
- For departments with limited number of tenured faculty members, to satisfy the requirement of one member per department on the School/College committee, an individual might be required to serve more than two consecutive two-year terms. In such a case, the requirement of one member per department on the School/College committee will be waived.
- Where numbers permit, a faculty member will be allowed to review a candidate only one time, as a member of only one of the three committees.
- No tenured faculty member who is an applicant for promotion will be allowed to serve on any of the three committees. If an individual has already been elected to one of these committees prior to his/her decision to apply for promotion, a replacement (only for that year) will be elected by the same faculty body that elected the original member.

D. Evaluation Procedures for Reappointments, Promotions, and Tenure

(1) Initiation, Review, and Approval of Reappointments, Promotions, and Conferral of Tenure

Each initial appointment with a fixed or probationary term for two years or longer, each promotion in rank, each reappointment to a fixed term, and each reappointment of an instructor, assistant professor, associate professor, or professor, whether or not the reappointment recommends the conferral of permanent tenure, shall be initiated by the candidate submitting an appropriate application to the department chairperson.

The department chairperson shall convene the department RPT committee. The committee will elect a chairperson. The committee will deliberate on the application, and reach a positive or a negative decision by a majority vote. The committee members will use the department's current published standards for reappointments, promotion and tenure for their evaluations. The committee will also prepare a written recommendation that reflects the collective and individual evaluations of all committee members. A document containing the voting record and the written recommendation will be signed by all committee members and added to the candidate's application package. The department chairperson will provide a copy of the document to the applicant, who will be given an opportunity to give his/her response. The applicant's response will be added to the package, and the department chairperson, then, will submit the application to the School/College Dean.²

The Dean shall convene the School/College RPT committee. The committee will elect a chairperson. The committee will deliberate on the application, and reach a positive or a negative decision by a majority vote. The committee will use the School's/College's current published standards for reappointments, promotion and tenure for their evaluations. The committee will prepare a document that includes the voting record and a written recommendation that reflects the collective and individual evaluations of all committee members. The document will be signed by all committee members and submitted to the Dean.

The Dean shall review the applicant's package. In relation to applicants for reappointment and tenure, the Dean's review will not be limited to only judging the professional qualifications of the applicant, but also to determining whether the School/College will have the resources to support the application, and whether a positive recommendation concerning the application will be consistent with the current School/College goals. Such factors as the following will be considered in this review: tenure density, enrollment trends, needs in critical areas of specialization, and results of program audit and review. The Dean shall make his/her decision to approve or decline the application. A document containing this decision with statements of justification, and signed by the Dean will be added to the application package.

Of the three bodies (the department RPT committee, the School/College RPT committee, and the Dean) who have evaluated the application, if two or all three bodies support the application, the application shall be forwarded to the Provost, with a positive recommendation. If two or all three bodies do not support the application, the application shall be forwarded to the Provost with a negative recommendation³. In either case, the Dean will provide the candidate copies of all the documentation leading to the recommendation within a week after the package is forwarded to the Provost.

If the School/College recommendation is negative, the Provost may ask for additional justification and reconsideration by the three School/College bodies. Through the process of justification and reconsideration, if the School/College recommendation is reversed, the Provost will forward the application to the University Committee for review. If the School/College recommendation is still negative, the Provost will forward the application to the Chancellor, who will send an unelaborated written statement to the candidate denying his/her application. This decision is final except as it may later be reviewed in accordance with the provisions of Section 5.

³ Recommendations from the School of Nursing, which has no departments, and the Library on appointments, reappointments, promotion, and permanent tenure shall go directly from the Dean of the School of Nursing and Director of the Library to the Provost for review at that level. The positive or negative recommendation made to the Provost will be based on the evaluation by a single faculty committee of which the Dean of Nursing (in the case of School of Nursing), and Director of the Library (in the case of Library) will be a member. (See Section 3.C for make-up of the RPT committees.)

If the School/College recommendation is positive, the Provost shall convene the University committee. The committee will elect a chairperson, a vice chairperson, and a secretary. The University committee is to review the applicant's professional qualifications in relation to the published University standards. The committee will reach a positive or a negative decision by a majority vote of all its members. The University committee will prepare a document containing the voting record, and a written recommendation signed by all the committee members, and submit it to the Provost.

The Provost shall review the application and the University committee's recommendation. In relation to applicants for reappointment and tenure, the Provost's review will not be limited to only judging the professional qualifications of the applicant, but also to determining whether the University will have the resources to support the application, and whether a positive recommendation concerning the application will be consistent with current University goals. Such factors, as the following will be considered in this review: tenure density, enrollment trends, needs in critical areas of specialization, and results of program audit and review. If the Provost will decide not to support the application, a letter stating the recommendation with a brief explanation, and signed by the Provost will be added to the package. If the Provost will decide to support the application, a letter of support signed by the Provost will be added to the package. The package will then be submitted to the Chancellor. In either case, the Provost will provide the candidate copies of all the documentation leading to the decision within a week after the Provost's review. If the Provost's positive recommendation is in contradiction to the University committee's recommendation, the Provost will send a letter to the University committee explaining the reasons for his/her decision. If a negative tenure decision is reached because of factors other than the professional qualifications of the applicant, the Provost might make a recommendation to the Chancellor with special arrangements to prolong the employment of the applicant at the University.

If the Chancellor shall decide not to recommend a reappointment, promotion, or permanent tenure, he shall send the candidate a letter with a simple, unelaborated, statement of the decision. This decision is final except as it may later be reviewed in accordance with the provisions of Section 5.

If the Chancellor shall concur in a recommendation that will confer permanent tenure, he shall consult with the Board of Trustees and, unless dissuaded, forward the recommendation to the President and Board of Governors for final approval. All other favorable recommendations by the Chancellor in regard to appointments, reappointments, and promotions shall be forwarded by him to the Board of Trustees for final approval unless that Board delegates the authority to give final approval. A letter approving appointment, reappointment, promotion or tenure will be sent to the candidate by the Chancellor.

The procedure outlined above applies to all resident tenure-track and tenured faculty, to candidates for new appointment at the ranks of Associate Professor or Full Professor, and to candidates for new appointments being considered for conferral of tenure. For a candidate for new appointment, timetable for review will be set consistent with the needs of the new appointment.

- (2) **Decisions not to Reappoint upon Expiration of Probationary Terms.** The decision not to reappoint when a probationary term appointment as instructor, assistant professor, associate professor, or professor expires shall be made by the school dean after consulting the school's committee on Faculty Reappointments, Promotions, and Tenure. This decision is final except as it may later be reviewed in accordance with the provisions of Section 5. Each such decision shall be communicated for information through the administration channels prescribed for review had the decision been to reappoint.
- (3) **Early Promotion and Tenure.** Nothing in these regulations shall be construed to preclude a faculty member from being recommended for permanent tenure and/or promotion at any time.
- (4) **Visiting Faculty Members.** Persons other than regular members of the faculty may be appointed as visiting members of the faculty with rank designations, prefixed by the word "visiting," appropriate to their status in their regular employment. Such appointments shall be for a term of not more than one year. No more than two successive appointments for a term of not more than one year may be made. Appointments are made in accordance with procedures for appointing an instructor, except that North Carolina Agricultural and

Technical State University is not obliged to give notice before a current term begins whether an appointment will be offered for a second term, and specification of the length of the appointment deemed to constitute full and timely notice of non-reappointment when that term expires. During his term of appointment, a visiting faculty member may not be suspended or discharged except upon the grounds and by the procedures provided in Section 4.

- (5) **Terms and Conditions of Appointments.** The terms and conditions of each initial appointment and of each reappointment to the faculty shall be set out in writing. A copy of the terms, signed by the Chancellor, shall be delivered to the faculty member and the Chancellor shall retain a copy. The general terms and conditions of such appointments, including those provided herein, shall be either set out in the document of appointment or incorporated therein by clear reference to specified documents that shall be readily available to the faculty member.

Any special terms and conditions shall be clearly stated in the written appointment. Except as herein provided, no special terms or conditions may be included that vary the general terms and conditions stated herein. The responsibility for initiating the inclusion of special terms and conditions in documents of appointment is with the chairman who recommends the appointment.

- (6) **Continued Availability of Special Funding.** The appointment, reappointment, or promotion of a faculty member to a position funded in whole or in substantial part from sources other than continuing state budget funds or permanent trust funds shall specify in writing that the continuance of the faculty member's services, whether for a specified term or for permanent tenure, shall be contingent upon the continuing availability of such sources. This contingency shall not be included in a faculty member's contract in either of the following situations:

- a. In a promotion to a higher rank, if before the effective date of that promotion, the faculty member had permanent tenure and no such condition is attached to the tenure,
- b. If the faculty member held permanent tenure in the institution on July 1, 1975, and his contract was not then contingent upon the continuing availability of sources other than continuing state budget or permanent trust funds.

The federal funds provided to the North Carolina Agricultural Extension Service through the Smith-Lever Act shall be considered to be permanent trust funds. Faculty who are funded in whole or in substantial part from these funds shall not be subject to the contingency provisions of this section.

- (7) **Provisions for Less than Full-Time Employment.** Special terms for less than full-time employment with commensurate compensation, or for relief from all employment obligations for a specified period, may be included in an appointment or reappointment to any faculty rank or may be added by a written memorandum of amendment during the term of an appointment. For compassionate reasons of health, or requirements of childbirth or child care, or similar compelling reasons, such terms may, with the concurrence of the faculty member, include extensions of the period of a current probationary term of appointment to coincide with the extent and duration of the relief from the full-time employment obligation. Such special terms must be expressly stated in initial appointment documents or, if added by memorandum of amendment, must be approved by signature of the Chancellor and the faculty member, with a copy to be retained by each. Except as may be otherwise expressly provided in the document of appointment, all appointments to any faculty rank are on the basis of a full-time employment obligation and confer the full Incidents of academic tenure pertinent to the particular appointment.

These provisions do not apply to informal temporary adjustments of the regularly assigned duties of faculty members by the department chairman who is responsible for their direct supervision; nor to the university's granting of extended leaves of absence with or without compensation.

D Resignation

A faculty member shall give prompt written notice of his resignation with its effective date to the Chancellor. Copies should go to the Provost, the School/College Dean, and his department chairperson. A professor or

associate professor should ordinarily give not less than four months' notice and an assistant professor or instructor not less than three months' notice of resignation.

SECTION 4. DUE PROCESS BEFORE DISCHARGE OR THE IMPOSITION OF SERIOUS SANCTIONS

- A.** A faculty member, who is the beneficiary of institutional guarantees of tenure, shall enjoy protection against unjust and arbitrary application of disciplinary penalties. During the period of such guarantees the faculty member may be discharged or suspended from employment or diminished in rank only for reasons of incompetence, neglect of duty, or misconduct of such a nature as to indicate that the individual is unfit to continue as a member of the faculty. These penalties may be imposed only in accordance with the procedures prescribed in this section. For purposes of these regulations, a faculty member serving a stated term shall be regarded as having tenure until the end of that term. These procedures shall not apply to non-reappointment (Section 5) or termination of employment (Section 6).
- B.** The Chancellor or his delegate shall send the faculty member by registered mail, return receipt requested, a written statement of intention to discharge him. The statement shall include notice of the faculty member's right, upon request, to both written specification of the reasons for the intended discharge and a hearing by the Faculty Hearing Committee as provided for in the Faculty Handbook.
- C.** If, within ten days⁴ after he receives the notice referred to in paragraph B above, the faculty member makes no written request for either a specification of reasons or a hearing, and he may be discharged without recourse to any institutional grievance or appellate procedure.
- D.** If, within ten days after he receives the notice referred to in paragraph B above, the faculty member makes written request, by registered mail, return receipt requested, for a specification of reasons, the Chancellor or his delegate shall supply such specifications in writing by registered mail, return receipt requested, within ten days after receiving the request. If the faculty member makes no written request for a hearing within ten days after he receives the specification, the faculty member may be discharged without recourse to any institutional grievance or appellate procedure.
- E.** If the faculty member makes a timely written request for a hearing, the Chancellor or his delegate shall insure that the hearing is accorded before the Faculty Hearing Committee. The hearing shall be on the written specification of reasons for the intended discharge. The Hearing Committee shall accord the faculty member twenty days from the time it receives his written request for a hearing to prepare his defense. The Hearing Committee may, upon the faculty member's written request and for good cause, extend this time by written notice to the faculty member.
- F.** The hearing shall be closed to the public unless the faculty member and the Hearing Committee agree that it may be open. The faculty member shall have the right to counsel, to present the testimony of witnesses and other evidence, to confront and cross-examine adverse witnesses, and to examine all documents and other adverse demonstrative evidence. A written transcript of all proceedings shall be kept; upon request, a copy thereof shall be furnished to the faculty member at the institution's expense.
- G.** The Chancellor, or his delegate or counsel, may participate in the hearing to present evidence, cross-examine witnesses, and make argument.

⁴ The word "day" as used in Sections 4, 5, and 6, shall mean, except where calendar day is specified, any day except Saturday, Sunday, or an institutional holiday. In computing any period of time, the day which notice is received is not counted but the last day of the period so computed is to be counted.

- H. In reaching decisions of which its written recommendations to the Chancellor shall be based, the Committee shall consider only the evidence presented at the hearing and such written and oral arguments as the Committee, in its discretion, may allow. The Committee shall make its written recommendations to the Chancellor within ten days after its hearing concludes.
- I. If the Chancellor concurs in a recommendation of the Committee that is favorable to the faculty member, his decision shall be final. If the Chancellor either declines to accept a committee recommendation that is favorable to the faculty member or concurs in a committee recommendation that is unfavorable to the faculty member, the faculty member may appeal the Chancellor's decision to the Board of Trustees. This appeal shall be transmitted through the Chancellor and be addressed to the Chairman of the Board.

Notice of appeal shall be filed within ten days after the faculty member receives the Chancellor's decision. The appeal to the Board of Trustees shall be decided by the full Board of Trustees. However, the Board may delegate the duty of conducting a hearing to a standing or ad hoc committee, of at least three members. The Board of Trustees, or its committee, shall consider the appeal on the written transcript of hearings held by the Faculty Hearing Committee, but it may, in its discretion, hear such other evidence as it deems necessary. The Board of Trustees' decision shall be made within one hundred twenty days after the Chancellor has received the faculty member's request for an appeal to the Trustees. This decision shall be final except that the faculty member may, within ten days after receiving the Trustees' decision, file a written petition for review with the Board of Governors if he alleges that one or more specified provisions of The Code of The University of North Carolina have been violated. If the Board of Governors agrees to consider the appeal, it will do so on a schedule established by the President, subject to any instructions received from the committee of the Board that has jurisdiction of the subject matter of the grievance. The Board will issue its decision within 90 days after receipt of the notice of appeal; provided, that if the grievant fails to comply with the schedule established for perfecting and processing the appeal and thereby precludes a decision within 90 days, the Board in its discretion may extend the period for decision or it may dismiss the appeal.

- J. When a faculty member has been notified of the institution's intention to discharge him, the Chancellor may suspend him at any time and continue the suspension until a final decision concerning discharge has been reached by the procedures prescribed herein. Suspension shall be exceptional and shall be with full pay.

SECTION 5. NONREAPPOINTMENT OF FACULTY MEMBERS ON PROBATIONARY TERM APPOINTMENT

A. Permissible and Impermissible Grounds for Non-reappointment

The decision whether to reappoint a faculty member when a probationary term of appointment expires may be based on any factor considered relevant to the total institutional interests, but it must consider the faculty member's demonstrated professional competence, his potential for future contributions, and institutional needs and resources. These considerations may form, in whole or in part, the basis of the ultimate decision, except that a decision not to reappoint 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) discrimination based upon the faculty member's race, gender, religion, sexual orientation, or national origin; or (3) personal malice.

B. Conference with Dean

Within five days after receiving a written notice of non-reappointment, a faculty member may in writing request a private conference with the dean of his school to discuss the reasons for non-

reappointment. This request shall be granted and the conference held forthwith, within five days after receipt of the request if possible.⁵

Within five days after the conference, the dean shall give the faculty member a simple, unelaborated, written statement of whether the original decision remains in effect.

C. Conference with the Provost/Vice Chancellor for Academic Affairs

Within five days after receiving notice that the original decision remains in effect, the faculty member may in writing request a conference with the Provost/Vice Chancellor for Academic Affairs. This request shall be granted and the conference held forthwith, within five days after receipt of the request if possible.

Within ten days after this conference, the Provost / Vice Chancellor shall send a written evaluation of the matter to the faculty member, the dean, and the department chairman. The evaluation may be in the form of an unelaborated concurrence with the decision; an expression of disagreement with the decision, with or without supporting reasons; or a recommendation for reconsidering the decision, with or without suggestions for specific procedures in doing so. Whatever form the evaluation may take, it is merely recommendatory and is not binding upon the dean or final as to the faculty member.

Within five days after receiving an evaluation that disagrees with the decision or recommends it reconsideration, the dean shall give the faculty member and the Vice Chancellor for Academic Affairs his response in writing.

D. Request for Review by Faculty Hearing Committee; Scope of Review

Within five days after he receives notice of an unfavorable action resulting from the conference with the Vice Chancellor, the faculty member may request that the Faculty Hearing Committee review the decision. This review is limited solely to determining whether the decision not to reappoint was based on any grounds stated to be impermissible in Section 5. A.

The request for review shall be written and addressed to the chairman of the Committee. It shall specify the grounds upon which the faculty member contends that the decision was impermissibly based, with a short and plain statement of facts that the faculty member believes support the contention.

Such a request constitutes on the faculty member's part: (1) a representation that he can support his contention by factual proof, and (2) an agreement that the institution may offer in rebuttal of his contention any relevant data within its possession.

The Committee shall consider the request and grant a hearing if it determines that (a) the request contains a contention that the decision was impermissibly based under this section, and (b) the facts suggested, if established, will support the contention. A denial of the request finally confirms the decision. If the request is granted, a hearing shall be held within ten days after the request is received; the faculty member shall be given at least five days' notice of the hearing.

E. Conduct of Hearing

The hearing shall be conducted informally and in private. Only the members of the Committee, the faculty member, the department chairman, the dean, and such witnesses as may be called may attend,

⁵ If the Provost/Vice Chancellor for Academic Affairs makes the initial decision not to reappoint, substitute her/his name for that of dean wherever the latter appears. If the initial decision not to reappoint is made by the Chancellor or Board of Trustees, the faculty member who is not to be reappointed may seek review of that decision in accordance with the procedure set out in Section 501 C (4) of The Code.

except that the faculty member and the dean may each be accompanied by a person of his choosing. A quorum for the hearing is a simple majority of the Committee's total membership. Committee members who hold an appointment in the faculty member's department, who will testify as witnesses, or who have any other conflict of interest are disqualified. If the faculty member requests it and the chairman of the Committee approves, a transcript of the proceedings shall be made and provided to the faculty member. The Committee may consider only such evidence as is presented at the hearing and need consider only the evidence offered that it considers fair and reliable. The Committee members, the faculty member, and the dean or the representative of the faculty member or dean may question all witnesses. Except as herein provided, the conduct of the hearing is under the committee chairman's control.

F. Hearing Procedure

The hearing shall begin with the faculty member's presentation of contentions, which shall be limited to those grounds specified in the request for a hearing and supported by such proof as he desires to offer. When the faculty member has concluded this presentation, the Committee shall recess to consider whether he has established a prima facie case. If it determines that the contention has not been so established, it shall so notify the parties to the hearing and thereupon terminate the proceedings. Such termination confirms the decision not to reappoint. If it determines that rebuttal or explanation is desirable, it shall so notify the parties and the hearing shall proceed. The dean may then present in rebuttal of the faculty member's contentions, or in general support of the decision not to renew, such testimonial or documentary proofs as he desires to offer, including his own testimony.

At the end of such presentation, the Committee shall consider the matter in executive session. The burden is upon the aggrieved faculty member to satisfy the Committee that his contention is true.

G. Procedure After Hearing

If the Faculty Hearing Committee determines that the faculty member's contention has not been established, it shall, by a simple unelaborated statement, so notify him, the department chairman, the dean, and the Vice Chancellor for Academic Affairs. Such a determination confirms the decision not to reappoint. If the Committee determines that the faculty member's contention has been satisfactorily established, it shall so notify him, the department chairman, the dean, and the Vice Chancellor for Academic Affairs by a written notice that shall also include a recommendation for corrective action by the dean.

Within five days after receiving such a recommendation, the dean shall notify the faculty member, Vice Chancellor, and the chairman of the Faculty Hearing Committee what modification, if any, he will make with respect to the original decision not to reappoint.

If the dean fails to make a recommended modification in the original decision, the Faculty Hearing Committee shall submit a report to the Chancellor containing the Committee's findings and recommendation and what it considers to be appropriate action by the Chancellor to resolve the matter.

SECTION 6. TERMINATION OF FACULTY EMPLOYMENT

A. Reasons Justifying Termination and Consultation Required

- (1) **Reasons for Terminating Employment.** The employment of a faculty member with permanent tenure or of a faculty member appointed to a probationary or fixed term may be terminated by North Carolina Agricultural and Technical State University because of (1) demonstrable, bona fide institutional financial exigency, or (2) major curtailment or elimination of a teaching, research, or public service program. Financial exigency is defined as a significant decline in the financial resources of the institution that is brought about by decline in institutional enrollment or by other action or events that compel a

reduction in the institution's current operations budget. The determination of whether a condition of financial exigency exists or whether there shall be a major curtailment or elimination of a teaching, research, or public service program shall be made by the Chancellor, after consulting with the academic administrative officers and faculties as required by Section 6. A (2). This determination is subject to concurrence by the President and the approval by the Board of Governors. If the financial exigency or curtailment or elimination of program is such that the institution's contractual obligation to a faculty member cannot be met, the employment of the faculty member may be terminated in accordance with the institutional procedures set out in Section 6. B.

- (2) **Consultation with Faculty and Administrative Officers.** When it appears that the institution will experience an institutional financial exigency or when it is considering a major curtailment in or elimination of a teaching, research, or public service program, the Chancellor or his delegate shall first seek the advice and recommendations of the academic administrative officers and faculties of the departments or other units that might be affected.

B. Termination Procedure

- (1) **Considerations In Determining Whose Employment Is to be Terminated.** In determining which faculty member's employment is to be terminated for the reasons set forth in Section 6. A (1), consideration shall be given to tenure status, to years of service to the institution, and to other factors deemed relevant, but the primary consideration shall be the maintenance of a sound and balanced educational program that is consistent with the functions and responsibilities of the institution.
- (2) **Timely Notice of Termination**
 - a. When a faculty member's employment is to be terminated because of major curtailment or elimination of a teaching, research, or public service program and such curtailment or elimination of program is not founded upon financial exigency, he shall be given timely notice as follows:
 1. One who has permanent tenure shall be given not less than twelve months' notice and
 - ii. One who was appointed to a fixed term and does not have permanent tenure shall be given notice in accordance with the requirements specified in Section 3 of these regulations.
 - b. When a faculty member's employment is to be terminated because of financial exigency, the institution shall make every reasonable effort, consistent with the need to maintain sound educational programs and within the limits of available resources, to give the same notice as set forth in Section 6. B.2a.
- (3) **Type of Notice to be Given.** The Chancellor or his delegate shall send the faculty member whose employment is to be terminated a written statement of this fact by registered mail, return receipt requested. This notice shall include a statement of the conditions requiring termination of the faculty member's employment; a general description of the procedures followed in making the decision; a disclosure of pertinent financial or other data upon which the decision was based; a statement of the faculty member's right, upon request, to a reconsideration of the decision by the Reconsideration Committee if he alleges that the decision to terminate him/her rather than another faculty member was arbitrary or capricious; and a copy of this procedure on termination of employment.

- (4) **Termination If Reconsideration Not Requested.** If, within ten days after he receives the notice required by Section 6. B (3), the faculty member makes no written request for reconsideration hearing, his employment shall be terminated at the date specified in the notice given pursuant to Section 6. B (3), and without recourse to any institutional grievance or appellate procedure.
- 5) **Request for Reconsideration Hearing.** Within ten days after receiving the notice required by Section 6. B (3), the faculty member may request by registered mail, return receipt requested, a reconsideration of the decision to terminate his employment if he alleges that the decision was arbitrary or capricious. The request shall be submitted to the Chancellor and shall specify the grounds upon which the faculty member contends that the decision to terminate his employment was arbitrary or capricious and shall include a short, plain statement of facts that the faculty member believes support the contention.

Submission of such a request shall constitute on the faculty member's part:

- (1) A representation that he can support his contention by factual proof, and
 - (2) An agreement that the institution may offer in rebuttal of his contention any relevant data within its possession.
- (6) **Jurisdiction of Reconsideration Committee.** If the faculty member makes a timely written request for a reconsideration of the decision, the Chancellor or his delegate shall insure that the hearing is accorded before the Reconsideration Committee, the composition of which is set out in the Faculty Handbook. This reconsideration shall be limited solely to a determination of the contentions made in the faculty member's request for reconsideration. The reconsideration hearing shall be held promptly, but the Committee shall accord the faculty member five days from the time it receives his written request for a hearing to prepare for it.
- (7) **Conduct of Hearing.** The hearing shall be conducted informally and shall be closed to the public. The faculty member and the Chancellor have the right to legal counsel, to present the testimony of witnesses and other evidence, to confront and cross-examine witnesses, and to examine all documents and other adverse demonstrative evidence. The faculty member and the Committee shall be given access, upon request, to documents of North Carolina Agricultural and Technical State University that were used in making the decision to terminate the faculty member after the decision was made that some faculty members' employment must be terminated. If the faculty member requests it, a transcript of the proceedings shall be given the faculty member at the institution's expense. The Committee may consider only such evidence as is presented at the hearing and need consider only the evidence offered that it considers fair and reliable. Committee members may question all witnesses. Except as herein provided, the conduct of the hearing is under the Committee chairman's control.

A quorum for purposes of the hearing is a simple majority of the Committee's total membership. No person shall serve on the Reconsideration Committee who holds an appointment in the faculty member's department, participated directly in the decision to terminate this individual faculty member, or has any other substantial conflict of interest.

- (8) **Hearing Procedure.** The hearing shall begin with the faculty member's presentation of contentions, limited to those grounds specified in the request for hearing and supported by such proof, as he desires to offer.

The Chancellor or his representative may then present in rebuttal of the faculty member's contentions, or in general support of the decision to terminate his employment, such testimonial or documentary proofs as he desires to offer, including his own testimony.

At the end of this presentation, the Reconsideration Committee shall consider the matter in executive session and shall make its written recommendations to the Chancellor within ten days after its hearing concludes. The burden is on the faculty member to satisfy the Committee that his contention is true to a substantial certainty.

- (9) **Procedure after Hearing.** If the Reconsideration Committee determines that the contention of the faculty member has not been established, it shall, by a simple unelaborated statement, so notify him and the Chancellor. The faculty member may then appeal the decision to terminate his employment in the manner provided by Section 501 (C)(4) of The Code of The University of North Carolina.

If the Reconsideration Committee determines that the contention of the faculty member has been satisfactorily established, it shall so notify him, and the Chancellor by a written notice that shall also include a recommendation for corrective action by the Chancellor.

Within ten day after receiving the recommendation, the Chancellor shall send written notice to the faculty member and 'the chairman of the Committee what modification, if any, he will make with respect to the original decision to terminate the faculty member's employment. If the Chancellor fails to reverse the original decision, the faculty member may appeal the termination in the manner provided by Section 501.C.4 of The Code of the University of North Carolina. If the Chancellor concurs in a recommendation of the Committee that is favorable to the faculty member, his decision is final.

C. Assistance for Faculty Members and Rights to New Positions

(1) Institutional Assistance to Employees who are Terminated.

The institution, when requested in writing by an employee whose employment has been terminated, shall give him reasonable assistance in finding other employment.

- (2) **First Right of Refusal of New Positions.** For two years after the effective date of termination of a faculty member's contract for any of the reasons specified in Section 6. A, the institution shall not replace the faculty member without first offering the position to the person whose employment was terminated. The offer shall be made by registered mail, return receipt requested, to the faculty member's last known address, and the faculty member will be given thirty calendar days after the receives the notice to acc3pt or reject the offer.

SECTION 7. RETIREMENT OF FACULTY, AND REAPPOINTMENT OF FACULTY BEYOND NORMAL RETIREMENT DATE

A. Retirement Policy for Members of the Faculty

Each member of the faculty who has permanent tenure shall be retired automatically, without notice, on July 1 coincident with or next following his or her seventieth birthday, except as provided in Sub-Section B below.

B. Employment Beyond Age 70

A faculty member may be continued in employment past the retirement date specified in Sub-Section A upon recommendation of the Chancellor and approval of the Board of Trustees. Such continuation in employment may be authorized only by a term appointment, each term not to exceed one year in duration.

SECTION 8. EFFECTIVE DATE

- A. These policies and regulations supersede all other institutional documents governing the matters covered herein and they shall become operative (with respect to all existing as well as future Faculty Reappointments) on the effective date, which shall be the date 28 calendar days after the day on which these policies and regulations have been approved by the President and the Board of Governors of The University of North Carolina.

- B.** Faculty members who, upon the effective date, have been serving at the rank of instructor for seven or more years shall be appointed on July 1, 1976, to a fixed term rank as authorized by Section 3. B (5), promoted to the two-year term as assistant professor, recommended for permanent tenure at the rank of assistant professor, or offered a terminal appointment of one academic year. This decision shall be made in accordance with the procedure of Section 3. C.
- C.** Faculty members without permanent tenure who, upon the effective date, have been serving at the rank of assistant professor for fewer than two years shall be appointed on July 1, 1976, to the two-year term as assistant professor unless they are not reappointed in accordance with Section 3. B (2). Faculty members without permanent tenure who, upon the effective date, have been serving at the rank of assistant professor for two or more years shall be appointed on July 1, 1976, to the three-year term as assistant professor, recommended for permanent tenure at the rank of assistant professor, promoted to associate professor with or without a recommendation for permanent tenure, or offered a terminal appointment of one academic year. These decisions shall be made in accordance with the procedure of Section 3. C.
- D.** Faculty members without permanent tenure who, upon the effective date, have been serving at the rank of associate professor for fewer than two years shall be appointed on July 1, 1976, to the second one-year term as associate professor unless they are not reappointed in accordance with Section 3. B (3). Faculty members without permanent tenure who, upon the effective date, have been serving at the rank of associate professor for two or more years shall be appointed on July 1, 1976, to the three-year term as associate professor, recommended for permanent tenure at the rank of associate professor, promoted to professor, or offered a terminal appointment of one academic year. These decisions shall be made in accordance with the procedure of Section 3. C.
- E.** Faculty members who, upon the effective date, have been serving at the rank of professor without permanent tenure shall be appointed on July 1, 1976, to the third one-year term as professor, recommended for permanent tenure, or offered a terminal appointment of one academic year. This decision shall be made in accordance with the procedure of Section 3. C.
- F.** The provisions of Section 3 requiring the department chairman to consult with the assembled full professors of his department shall apply only with respect to personnel recommendations initiated by the department chairman after the effective date of these regulations.
- G.** The provisions of Section 5 shall apply, not only with respect to those to whom notices of non-reappointment are given after the effective date, but also with respect to those to whom such notices have been given within the period of 60 calendar days next preceding the effective date. Instructors, assistant professors, associate professors, and professors to whom notice of non-reappointment have been given within the period of 60 calendar days next preceding the effective date shall have 10 calendar days after the effective date within which to initiate the procedures for review provided in Section 5.
- H.** The provisions of Section 7 shall apply with respect to all those who, upon the effective date, have attained normal retirement age and are in continued terms of employment, as well as to those who attain normal retirement age after the effective date.