
EXHIBIT 6.4.H

Policies, Procedures, and Practices for Faculty Workload and Summary

Initial (BS)

Agriculture, Art, Birth-Kindergarten, Biology, Business, Chemistry, Comprehensive Social Studies, Elementary, English, Family and Consumer Sciences, Mathematics, & Music.

Initial & Advanced (MAT)

Biology, Birth-Kindergarten, Business, Chemistry, Comprehensive Social Studies, Elementary, English, Family and Consumer Sciences, Health and Physical Education, Mathematics, Special Education, and Technology.

Advanced (MS, MAED, MSA, JMSW)

MS - Agricultural Education
MS - Instructional Technology
MAED - Elementary Education
MAED - Reading Education
MSA – School Administration
MS - School Counseling*
MSW - Social Work**

*Accredited through CACREP

**In NCATE accreditation process at University of North Carolina at Greensboro since it's a joint program between NCA&T and UNCG.

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NORTH CAROLINA AGRICULTURAL AND TECHNICAL STATE UNIVERSITY

FACULTY WORKLOAD ASSIGNMENT AND ASSESSMENT

UNIT POLICY – ACADEMIC AFFAIRS

INTRODUCTION

This policy addresses the workload and assignment of tenured and tenure-track faculty at North Carolina A&T State University. University of North Carolina Policy 400.3.2.1[G] provides a list of the recommendations adopted by the Board of Governors and provides instructions to be followed by constituent institutions in complying with them. The policy confirms that teaching, or instruction, is the primary responsibility of each of the UNC institutions. It further affirms that while neither teaching, nor service, nor research is the sole measure of a faculty member's competence and contribution, teaching should be the first consideration at all of the UNC institutions.

University of North Carolina Policy 400.3.4 addresses the requirements for monitoring faculty teaching workloads. It mentions the importance to distinguish between "the portion of faculty time that is spent in direct contact with students in classrooms, laboratories, studios, clinics, etc. and the time spent on instructional activities generally". Such activities as selecting, reviewing and preparing course materials and course syllabi, advising students outside the classroom, restructuring the curriculum and developing new courses are all related to instructional activities that account for the majority of time devoted to instruction when done properly.

Faculty members who teach graduate courses teach students about advanced topics related to active research in their disciplines. Those who teach and supervise doctoral students are expected to be active researchers and productive scholars. The time spent supervising thesis and dissertation research is seldom appropriately represented by student credit hours. Thus, classroom teaching workloads for faculty at doctoral and major research institutions are typically lower than those for faculty at other institutions.

Activities related to public service and/or engagement are typically even more difficult to measure because they are case-specific and the time required varies even for similar activities.

Such activities include faculty responses to request for information, advice and technical assistance as well as instruction provided through continuing education.

University of North Carolina Policy 400.3.4, Monitoring Faculty Teaching Workloads, states

“that a system for monitoring teaching workloads at UNC institutions would generally show standard annual course loads no lower than the following:

- | | |
|---|-----------|
| 1. Research Universities I : | 4 |
| 2. Doctoral Universities I : | 5 |
| 3. Masters (Comprehensive) I : | 6 |
| 4. Baccalaureate (Liberal Arts) I : | 8 |
| 5. Baccalaureate (Liberal Arts) II : | 8” |

The policy recognizes that institutions within the groups will have departments with higher teaching loads than those shown above. Each institution is expected to develop a system for monitoring teaching workloads to provide information to campus administrators that will help them to manage workloads in an efficient and equitable manner. The policy recognizes that teaching loads are best managed at the department and school/college level.

University of North Carolina Policy 400.3.4 gives the following groups of criteria for course reductions:

1. Course/curriculum development
2. Heavy load-academic advising
3. Accreditation/program review
4. Technology training for instruction
5. Co-curricular activities
6. Academic administration
7. Externally-funded research
8. Institutionally-supported research
9. Institutional service
10. Service to the public
11. Service to the profession
12. Off-campus scholarly assignment/on leave
13. Other

The system for monitoring teaching workloads will be required to measure teaching workloads by adding courses and course equivalents and to account for course reductions by using the categories defined above.

POLICY PROVISIONS

The following items are proposed to constitute the provisions of a policy for faculty workload assignment and assessment for North Carolina A&T State University:

1. Workload Assignments

- a. A faculty member's workload includes the areas of instruction, research/scholarship or creative activity, service, clinical duties, community engagement and administration.
- b. The Chancellors Cabinet, in consultation with the Deans Council, will establish workload and productivity criteria in terms of student credit hours (SCHs) per FTE for each school/college for the relevant period.
- c. The dean of each school/college, in consultation with the chairs and directors within the school/college, will establish workload and productivity criteria for each department or school in the college for the relevant period. These criteria will be guided by the requirements that the college meet workload and productivity criteria set by the Chancellors Cabinet.
- d. The chairperson or director of each department will establish individual workload and productivity requirements for each member of the faculty for the relevant period. These requirements will cumulatively meet the requirements for the department or school as established by the dean for the relevant period.
- e. The unit administrator for the primary academic unit, in consultation with the unit administrator(s) for the other units to which the faculty member is jointly assigned, will set the workload and productivity requirements for a faculty member with a joint appointment.
- f. The University will maintain an overall instructional load equivalent to five 3-semester-hour courses per year per 1.0 FTE as appropriate for a Doctoral/Research university.
- g. Schools/colleges will produce at least the average student credit hours (SCH) per FTE assigned by the Chancellor's Cabinet.
- h. Department chairs will ensure that the aggregated faculty workloads for the department or school meet the productivity criteria established for the department or school by the dean. Failure to satisfy the workload and productivity criteria established by the dean for the relevant period may result in an unsatisfactory performance evaluation and/or removal of administrative duties.

2. Instructional Assignment and Other Responsibilities

- a. Course Reductions
 - i. The criteria for course reductions will be grouped into the following reporting categories: course/curriculum development, heavy load of academic advising, accreditation/program review, technology training for instruction, co-curricular activities, academic administration, externally funded research, institutionally supported research, institutional service, service to the public, and service to the profession.
 - ii. A department chair or unit director may authorize one or more course reductions if the demands of activities, as defined above, warrant a

reduction in the instructional load except as restricted or defined by other University policies.

- iii. Reductions in the instructional load are measured in terms of credit hours and are determined on a case by case basis.
- iv. A faculty member who is granted a course reduction may not receive an instructional overload assignment for additional compensation without approval from the dean and the Provost.
- v. Each dean is responsible for generating a report that identifies all faculty course reductions for the academic year and the associated outcomes using the unit guidelines established for monitoring productivity. This report will be compiled for the unit and shall be due to the Provost by the end of the fiscal year.

Approved by:

Chancellor

Provost and Vice Chancellor for Academic Affairs

Date Original or Revision is Effective



NORTH CAROLINA AGRICULTURAL AND TECHNICAL STATE UNIVERSITY

SEC. VII-Data 1.0

DATA CLASSIFICATION POLICY

ADMINISTRATIVE POLICY

PURPOSE

University data are institutional information acquired or created on behalf of North Carolina Agricultural and Technical State University by such entities as divisions, departments, organizations, and their personnel. Mandates of federal laws, state laws, industry standards, and contractual agreements set out what and/or how data are protected. University policies are sometime derived from these governing controls. The purpose of this policy is to provide users with data classification governance in order to protect University data from unauthorized use including but not limited to acquisition, access, disclosure, retention, and disposal.

SCOPE

This policy applies to University data in typed, printed, written, electronic, and/or verbal formats regardless of how data are communicated, how data are transmitted, and/or whether data are saved to storage media such as hard drives or CDs.

POLICY

Classification: University data are classified as either **restricted** or **public**.

- **Restricted Data:** Data for which the highest levels of protection apply due to the risk or harm that may result from improper data acquisition, access, disclosure, retention, and/or disposal. This includes data protected by mandates of federal laws, state laws, industry standards, and contractual agreements. Regulations and Standards that the University

users must abide by include but are not limited to the ones listed in the Regulations and Standards table in this policy.

- **Public Data:** Data for public use that has neither disclosure nor access restrictions. This includes data governance mandated by the North Carolina Public Records Act which is listed in the Regulation and Standards table.

Examples of public data include but are not limited to the following: directory information, press releases, posted course schedules, annual reports, University website information with unrestricted access, University announcements, and publications (i.e. newsletters, magazines, etc.).

Responsibilities: Security measures for data are set by the defined roles below.

- **Data Steward:** A data steward is the manager of data that are acquired and/or created. A data steward classifies data as restricted or public, how data can be used including disclosure, who can access the data, how the data can be accessed, data access privileges, data retention, and data disposal.
- **Data Custodian:** A data custodian is entrusted with the care of data by a data steward. Data stewards must work with data custodians to develop and implement policies and procedures for requesting and maintaining access to data. These policies and procedures shall be developed taking into account the risk associated with the specific data and/or system being accessed. A data custodian implements applicable controls such as data security, physical security, backup and recovery. A data custodian, when applicable, grants access to data based upon authorization from a data steward.
- **Data User:** A data user requests access to data from a data steward. A data steward entrusts a data user to create data, modify data, or delete data while maintaining the integrity of the data and complying with policies and procedures established to protect data.

Data Retention and Disposition: Data stewards are responsible for establishing as well as communicating retention and disposal policies and procedures. The University General Records Retention and Disposition Schedule govern the institutions of the University of North Carolina System on the retention, destruction, transfer, or disposal of records. It is accessible on the University Archives Department website (<http://www.library.ncat.edu/resources/archives/records.html>). The University Archives Department assists offices with records management.

ENFORCEMENT

Non-compliance with a federal or state law can have severe financial consequences for the University and the person(s) responsible for the negligence. The following penalties could occur as a result of non-compliance:

- With the Family Education Rights and Privacy Act (FERPA), federal funding could be lost to the University, including grants and financial aid.
- With Gramm-Leach-Bliley Act (GLBA), the University could be fined up to \$100,000.
- With the Health Insurance Portability and Accountability Act (HIPAA), the fine could range from \$50,000 to \$250,000 and a one to two year prison term for the individual responsible for non-compliance.
- With the Payment Card Industry Data Security Standard (PCI DSS), the University may no longer be permitted to accept credit card payments and also may receive a fine up to \$500,000 per incident.

Enforcement of this policy includes the following:

- Divisional and departmental assessments
- External and internal audit compliance
- Federal and state laws and regulations, University policies, and industry standards

University sanctions for individuals cited for unauthorized use may result in one or more of the following:

- Suspension of computing and networking privileges
- Misconduct review
- Termination of employment
- Student suspension or dismissal
- Breach of contract/agreement filed against vendors, contractors, guests, and alumni

For University students and employees, the sanctions will be administered in accordance with governance from the student handbook, the faculty handbook, Human Resources, and the Office of State Personnel procedures, as appropriate.

References:

Regulations and Standards Table: All users of University data are responsible for understanding and complying with the protection of data elements and records listed in the table as well as all other listed requirements.

Name:	Family Educational Rights and Privacy Act (FERPA)		
Description:	Protects students' privacy by prohibiting disclosure of education records without adult consent		
Type:	Federal Law	Reference(s):	http://www.ncat.edu/registrar-office/ferpa/index.html http://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html http://www2.ed.gov/policy/gen/guid/fpco/pdf/ht12-17-08-att.pdf
Some of the protected data elements/records:	<ul style="list-style-type: none"> • Social Security number • educational record • photograph if opt-out not disclosed nor proper notice provided 	<ul style="list-style-type: none"> • other personally identifiable information (PII) • student identification number since it is used in some cases to solely authenticate identity • non-directory information 	
Name:	Health Insurance Portability and Accountability Act (HIPAA)		
Description:	Protects patient health and medical information; applies to health care providers		
Type:	Federal Law	Reference(s):	http://www.hhs.gov/ocr/privacy/
Some of the protected data elements/records:	<ul style="list-style-type: none"> • health/medical record 	<ul style="list-style-type: none"> • other health/medical identifiable information 	
Name:	Payment Card Industry (PCI) Standard		
Description:	Protects credit card information		
Type:	Industry Standard	Reference(s):	https://www.pcisecuritystandards.org/ https://www.pcisecuritystandards.org/documents/pci_dss_v2.pdf
Some of the protected data elements/records:	<ul style="list-style-type: none"> • primary account number (PAN) • PINs (storage not permitted) 	<ul style="list-style-type: none"> • card verification codes (storage not permitted) • cardholder name, service code, and/or expiration date are protected when used with PAN; used includes stored, processed 	

Name:	North Carolina Identity Theft Protection Act		
Description:	Requires entities to protect customer information to prevent identity theft		
Type:	State Law	Reference(s):	http://www.ncleg.net/enactedlegislation/statutes/pdf/byarticle/chapter_75/article_2a.pdf
Some of the protected data elements/records:	<ul style="list-style-type: none"> • Social Security number • driver's license number • banking information 	<ul style="list-style-type: none"> • credit card information • other personal information 	
Name:	The Gramm-Leach-Bliley Act (GLBA)		
Description:	Protects consumer financial information		
Type:	Federal Law	Reference(s):	http://www.ftc.gov/os/2002/05/67fr36585.pdf http://www.gpo.gov/fdsys/pkg/PLAW-106publ102/pdf/PLAW-106publ102.pdf
Some of the protected data elements/records:	<ul style="list-style-type: none"> • account numbers • credit card number • deposit/transaction information 	<ul style="list-style-type: none"> • personable identifiable information (PII) 	
Name:	The North Carolina Public Records Act		
Description:	Protects certain records from public disclosure including personally identifiable information.		
Type:	State Law	Reference(s):	http://www.ncpress.com/ncpa/AG%20booklet%204-8-08.pdf and N.C.G.S, 126-22 et seq. http://www.ncleg.net/EnactedLegislation/Statutes/HTML/ByArticle/Chapter_126/Article_7.html
Some of the protected data elements/records:	<ul style="list-style-type: none"> • Social Security number • certain criminal investigation records • certain records about industrial expansion 	<ul style="list-style-type: none"> • certain state tax information • certain trade secrets • records containing certain communications between attorneys and their government clients • most personnel records 	
Name:	Red Flag Rule		
Description:	Prevent identity theft		
Type:	Federal Law	Reference(s):	http://www.ftc.gov/bcp/edu/microsites/redflagsrule/index.shtml http://www.northcarolina.edu/legal/policies/red_flag/index.htm
Some of the protected data elements/records:	<ul style="list-style-type: none"> • Social Security number 	<ul style="list-style-type: none"> • driver's license number • banking or other financial information 	

	• date of birth	• government passport number
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Data Classification Policy (<http://policy.uncg.edu/data/>)

Data Classification Policy (<http://ocio.osu.edu/policy/policies/policy-on-institutional-data/data-classification/>)

US Department of Education (<http://www.ed.gov/technology/draft-netp-2010/FERPA>)

Wikipedia

(http://en.wikipedia.org/wiki/North_Carolina_Identity_Theft_Protection_Act_of_2005)

Date Original is Effective: Upon approval

Approved by Chancellor

First approved: May 16, 2012

Revised

Suggestions on Safeguarding University Data

Data stewards, data custodians, and data users can comply with protecting University data by applying practices including but not limited to the following list:

- Do not leave paper documents unattended; protect them from the view of passers-by or office visitors; be mindful that personnel such as Housekeeping and/or Facilities may have to enter your office when you are not present.
- Close and lock office doors when away from your office.
- Add a “Restricted” or “Confidential” label or watermark to documents.
- Do not leave keys, access codes, access cards, etc. to file drawers, storage locations, electronic systems, etc. in unlocked desk drawers, in cabinet key slots, or other areas.
- Do not share access credentials (i.e. passwords, PINs, etc.).
- Store paper documents and storage media (i.e. USB drives, CDs, etc.) in a secure location(s).
- Shred paper documents when they are no longer needed, making sure that such documents are secured until shredding occurs. If a shredding service is employed, the service provider should have clearly defined procedures in the contractual agreement that protect discarded information, and ensure that the provider is legally accountable for those procedures, with penalties in place for breach of contract.
- Immediately retrieve documents from copy machines, fax machines, and printers.
- Do not discuss restricted data outside of the workplace or with anyone who does not have a University business need to know. Be aware of the potential for others to overhear communications in offices, on telephones, and in public places like elevators, restaurants, and sidewalks.
- Ensure that electronic equipment containing restricted data is securely transferred or disposed of in a secure manner.
- Immediately report the theft, loss, or abuse of data and electronic computing equipment to the University Police Department. The theft, loss, or suspected compromise of restricted data should be immediately reported to IT Security & Audit.
- Physically secure systems that contain restricted data from unauthorized access and use. Implement access controls including encryption.
- Grant only the necessary access to users that are needed to perform job functions.
- Exercise the principles of least privileges and separation of duties when granting access to data.
- Verify third party protection, access, disclosure, retention, and disposal of data.
- Use encryption or certificates when transmitting and accessing restricted data. Recommended secure methods include https, secure shell (scp/sftp), ssl, ftps, IPSec, S/MIME, and password-protected data.
- For intellectual property data, in addition to this policy, consult with the Office of Legal Affairs.
- For proprietary research data, in addition to this policy, consult with the Division of Research.
- Terminate user access to data when access is no longer warranted; modify user access to data when the user’s role changes.

References:

- Data Classification Policy (<http://ocio.osu.edu/policy/policies/policy-on-institutional-data/data-classification/>)
- Encrypting Lotus Notes (http://publib.boulder.ibm.com/infocenter/domhelp/v8r0/index.jsp?topic=/com.ibm.help.domino.admin.doc/DOC/H_ENCRYPTING_OUTGOING_MAIL.html)
- Guidelines for Safeguarding Information (<http://www.brown.edu/cis/policy/safeinfo.php>)

School of Education Faculty Work Load Policy

North Carolina Agricultural and Technical State University

This policy recognizes that different faculty levels have different expectations regarding research and service expectations. This policy recognizes that teaching loads are best managed at the department and school level. The School of Education acknowledges the minimum “standard” annual course load will be:

Table 1. Proposed Instructional Work Loads for the School of Education.

Program Type	Lecturers	Non-Graduate, Tenured & Tenure-track Faculty	Graduate Tenured & Tenure-track Faculty
Baccalaureate	9 (27 credit hrs.)	8 (24 credit hrs.)	N/A
Master’s	9 (27 credit hrs.)	8 (24 credit hrs.)	6 (18 credit hrs.)
Doctoral	9 (27 credit hrs.)	8 (24 credit hrs.)	5 (15 credit hrs.)

University of North Carolina Policy 400.3.4 gives the following groups of criteria for course reductions for work load reductions for faculty below these minimum loads:

1. Course/curriculum development
2. Heavy load-academic advising
3. Accreditation/program review
4. Technology training for instruction
5. Co-curricular activities
6. Academic administration
7. Externally-funded research
8. Institutionally-supported research
9. Off-campus scholarly assignment/on leave
10. Other – detailed description and rationale needed

The system for monitoring teaching workloads will be required to measure teaching workloads by adding courses and course equivalents and to account for course reductions by using the categories defined above.

POLICY PROVISIONS

The following items are proposed to constitute the provisions of a policy for faculty workload assignment and assessment for North Carolina A&T State University:

1. Workload Assignments
 - a. A faculty member’s workload includes the areas of instruction, research/scholarship or creative activity, service, clinical duties, community engagement and administration.

- b. The dean of the School of Education, in consultation with the chairs and directors within the school, will establish workload and productivity criteria for each department or program in the school for the relevant period. These criteria will be guided by the requirements that the school meet workload and productivity criteria set by the Chancellors Cabinet.
 - c. The chairperson or director of each program will establish individual workload and productivity requirements for each member of the faculty for the relevant period. These requirements will cumulatively meet the requirements for the department or school as established by the dean for the relevant period.
 - d. For joint faculty or faculty teaching classes outside their primary academic unit, the unit administrator for the primary academic unit, in consultation with the unit administrator(s) for the other units to which the faculty member is jointly assigned or teaching classes, will set the workload and productivity requirements.
 - e. The school will maintain an overall instructional load equivalent in its departments that reflects the loads in Table 1 with a minimum average of:
 - i. Eight 3-semester-hour courses (24 credit hrs.) per year per 1.0 FTE as appropriate for baccalaureate programs.
 - ii. Six 3-semester-hour courses (18 credit hrs.) per year per 1.0 FTE as appropriate for master's programs.
 - iii. Five 3-semester-hour courses (15 credit hrs.) per year per 1.0 FTE as appropriate for doctoral programs.
 - f. The School of Education will produce at least the average student credit hours (SCH) per FTE assigned by the Chancellor's Cabinet.
 - g. Department chairs and program directors will ensure that the aggregated faculty workloads for the department or school meet the productivity criteria established for the department or school by the dean. Failure to satisfy the workload and productivity criteria established by the dean for the relevant period may result in an unsatisfactory performance evaluation and/or removal of administrative duties.
2. Instructional Assignment and Other Responsibilities
- a. Course Reductions
 - i. The criteria for course reductions will be grouped into the following reporting categories: course/curriculum development, heavy load of academic advising, accreditation/program review, technology training for instruction, co-curricular activities, academic administration, externally funded research, institutionally supported research, institutional service, service to the public, and service to the profession.
 - ii. A department chair or unit director may authorize one or more course reductions if the demands of activities, as defined above, warrant a reduction in the instructional load except as restricted or defined by other University policies.
 - iii. Reductions in the instructional load are measured in terms of credit hours and are determined on a case-by-case basis.
 - iv. A faculty member who is granted a course reduction may not receive an instructional overload assignment for additional compensation without approval from the dean and the Provost.

- v. Each chair or program director will be responsible for generating a report that identifies all faculty course reductions for the academic year and the associated outcomes using the unit guidelines established for monitoring productivity. This report will be compiled for the unit and shall be due to the Dean by the last day of May.

DRAFT