NC STATE
College of Sciences

Standard Operating Procedures

SOP HR.06.00	Professional Faculty
Owner/Contact Information:	College of Sciences, Human Resources, 919-515-3487
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Related Policies/Links:	**College of Sciences Post Tenure Review Rules**
	Documenting Compliance with SACS and University Qualifications for Teaching Assignments
	Faculty Central
	Faculty Onboarding
	Graduate Faculty Handbook
	The Office of Faculty Development
	POL 05.15.03 – Non-Salary and Deferred Compensation
	POL 05.20.01 – Appointment, Reappointment, Promotion and Permanent Tenure
	Reappointment, Promotion and Tenure
	REG 05.20.27 – Statements of Faculty Responsibilities
	REG 05.20.34 – Professional Faculty Ranks and Appointments
	REG 05.20.40 – Instructor Qualifications
	RUL 05.67.706 – College of Sciences Standards and Procedures for Reappointment, Promotion and Tenure
	SOP HR.02.02 Offer Letter and Change Notification Memo Process
	SOP HR.04.00 Recruitment and Search Committee

1. PURPOSE/INTRODUCTION

This Standard Operating Procedure (SOP) document is intended to guide employees through general and operational processes pertaining to Professional Faculty. Professional Faculty processes are managed by each department, however, College of Sciences Human Resources (COS-HR) is available to answer questions or provide guidance regarding Professional Faculty processes and procedures.

2. DEFINITIONS

COS HR – Abbreviation for College of Sciences Human Resources Office

COS Operations Team – College of Sciences leadership reporting to the Dean, consisting of the Senior Associate Dean, Associate Deans, & Assistant Deans. The Operations Team meets once/week.

DVF - Department Voting Faculty

EHRA - abbreviation for employees Exempt from the State Human Resources Act.

SAR - Abbreviation for System Access Request. A web application that automates the approval process for granting and revoking employee access to HR data, Student Information System (SIS) data, Financial data, and Document Management data — as well as other data systems at NC State.

SOP: Standard Operating Procedures – The most used and agreed upon procedures for specific tasks, situations or processes.

SACS: Southern Association of Colleges and Schools. NC State University is accredited by the Commission on Colleges of the Southern Association of Colleges and Schools to award associate, baccalaureate, masters and doctoral degrees.

SFR - Abbreviation for Statement of Faculty Responsibilities, replaces the SME, Statement of Mutual Expectations, see SME to SFR Transition.

RPT – Abbreviation for Reappointment, Promotion, and Tenure. Reappointment, promotion and tenure mark significant milestones in a faculty member's academic career.

RPT Online - (rptonline.ncsu.edu) The University's online system for Reappointment, Promotion, and Tenure, may be more commonly referred to as "The RPT System".

UHR – Abbreviation for University Human Resources.

3. Procedures

3.1 Definition of Professional Rank and Responsibilities

3.1.1 Professional faculty contracts and appointments are generally limited in duration because of:
(1) the purpose for which the individual is appointed,
(2) the availability of funding, or
(3) other valid institutional reasons.

Except for Visiting and Adjunct appointments, paid professional faculty receive fixed term contracts that may not exceed five (5) years. Subsequent contracts, with the terms of service not to exceed five (5) years, may be awarded. REG 05.20.34, section 6

3.1.2 Professional Faculty are not eligible for consideration or conferral of permanent tenure. NC State uses the term "professional faculty" rather than special faculty and the term "contracts" rather than appointments to distinguish fixed-term professional faculty contracts from the appointments of probationary tenure-track faculty members. Professional faculty have the rights and protection of academic tenure only during their contract, see 3.11.8 of this SOP. REG 05.20.34

3.1.3 Qualifications for Professional Faculty Appointments are defined in REG 05.20.34, section 5. NC State's guidelines for the credentials required for faculty teaching a course at any level are the same as those of the Commission on Colleges of the Southern Association of Colleges and Schools, available on the Commission's website.   Departments must be prepared to provide documentation of the required credentials for each faculty member teaching a course in their departments or program.

3.1.3.A Alternative Credentialing: If an instructor does not have academic credentials appropriate for the discipline and level of a course he or she is teaching, the instructor of record

must be qualified through alternative credentials – professional experience and/or demonstrated competency – appropriate to the content and level of each course taught. The department head, or program director for interdisciplinary programs outside of a department, should provide the following information for review by the dean or dean's designee: Justifying, Approving & Documenting Instructor Qualifications

3.1.4 Professional Faculty Professorial Rank of Assistant Professor, Associate Professor or Professor must have one of the following modifiers, which may only be used to modify the professorial ranks (See section 4.1.2)
- Clinical: principal responsibility in clinical practice or clinical research.
- Extension: principal responsibility in extension and engagement.
- Research: principal responsibility in research.
- Teaching: principal responsibility in teaching.
- Of the Practice: practitioner with significant experience in his or her field.
- Visiting: unpaid faculty who are in residence at NC State and who retain their status in a position at another institution of higher education, research organization, or other entity with a significant research or educational mission.

3.1.5 Lecturer and Senior Lecturer: Lecturers and senior lecturers are appointed with primarily instructional responsibilities (see section 4.2).

3.1.6 Adjunct appointments are unpaid part-time (<0.75 FTE) appointments generally held by: (a) a NC State University employee whose primary appointment is as EHRA or SHRA non-faculty, or, (b) a person employed primarily outside the university who provides academic service to the university (such as teaching, service on doctoral committees, or an advisory role). (See section 4.3) Also see the COS Unpaid Appointment Matrix.

3.1.7 Visiting appointments are limited to faculty who are in residence at NC State and who retain their status in a position at another institution of higher education, research organization, or other entity with a significant research or educational mission. (See section 4.4) Also see the COS Unpaid Appointment Matrix.

3.1.8 Academic Tenure versus Permanent Tenure: Academic tenure is distinguished from permanent tenure in that probationary tenure-track and fixed term professional faculty have the rights and protection of academic tenure only during their contract, whereas holders of permanent tenure have the rights and protection of academic tenure until resignation, discharge, termination, retirement or death. See SOP HR.05.00 for Retirement and Phased Retirement of Tenure and Tenure Track faculty with Permanent Tenure.

3.1.9 Statement of Faculty Responsibilities (SFR) for individual faculty members are entered online in the RPT system by both the faculty member and the department during the faculty member's appointment, and are based on the academic standards for faculty created by the University. It is a description of the mix of the individual faculty member's mutually-agreed-upon expectations from both the faculty member and the department. In January 2018, the Provost approved a process that transitioned the Statement of Mutual Expectations (SME) to Statements of Faculty Responsibilities (SFRs); the regulation can be viewed in REG 05.20.27.

3.2 Contract Lengths and Definitions

 3.2.1 Terms for initial and subsequent contracts (see REG 05.20.34, section 6) the faculty member must prepare documentation (which may be in the form of a dossier, based on department bylaws) for the Department Head to consider the initial or subsequent contract renewal.

  3.2.1.1 Except for Visiting appointments, paid professional faculty receive fixed term contracts that may not exceed five (5) years. Subsequent contracts, with the terms of service not to exceed five (5) years, may be awarded.

  3.2.1.2 A Visiting appointment, paid or unpaid, may not exceed two (2) consecutive years. Subsequent visiting appointments may be made three (3) years after the end date of the most recent visiting appointment.

 3.2.2 Consultation (see REG 05.20.34, section 8.1): Decisions for professional faculty initial and subsequent contracts are dependent on recommendations by the Department Voting Faculty (DVF) and/or Department Head to the Dean, who is responsible for these decisions. Decisions for initial and subsequent contracts of up to 2 years may be delegated to the department head according to departmental procedures approved by the DVF.

 3.2.3 Professional faculty may receive a subsequent contract or appointment, which is distinguished from reappointment of a probationary tenure-track faculty member. College of Sciences HR requires that contract renewals are not delivered more than one academic year in advance of the start date.

 3.2.4 Academic-Year (9-month) vs Fiscal-Year (12-month) appointment basis: Both appointment payments are spread over 12-months. Academic-year contracts are August 16 - May 15 and fiscal-year appointment effective dates could vary. Varied circumstances require that a faculty member's salary be adjusted from a fiscal year (12 month) basis to an academic year (9 month) basis and vice versa. NC State University uses a 9:11 conversion factor.

3.3 Departmental Bylaws

Departmental bylaws are the written instructions about the internal administration and procedures of how the college departments define or designate the responsibilities and functions of the faculty and of various committees. Departmental bylaws should be consistent in departmental governance as well as with general College and University policies and regulations. Department bylaws shall not contain language contradictory to University Policies, Rules & Regulations.   Department Bylaws should be consulted on a department by department basis to see if they contain language specific to Faculty processes.

3.4 Recruitment Procedures

 3.4.1 The Recruitment and Search Committee Best Practices Standard Operating Procedure is designed to provide the College of Sciences with guiding procedures for recruitment of EHRA, SHRA, and Postdoc employee classifications. Checklists have been developed to guide hiring officials and department representatives through the recruitment process in conjunction with the Recruitment and Search Committee Best Practices Standard Operating Procedure.

 3.4.2 COS HR has developed a Recruitment and Hiring of EHRA Professional Faculty Process Map to assist departments in the timeline and outline of the recruitment and hiring process of an EHRA Non-Faculty & SAAO Tier II Employees.

 3.4.3 Graduate Faculty Status: Depending on roles and responsibilities, graduate faculty status may be granted per policy of the Graduate School if applicable. See NC State Graduate Faculty Handbook, 3.1.

3.5 Onboarding Resources

University Onboarding: The Onboarding Center provides resources for EHRA Faculty Onboarding.

Department Onboarding: After a candidate has been selected and the offer is accepted, the department will proceed with early department faculty onboarding. College of Sciences' recommended resources include, but not limited to:

- Second campus visit to meet with the department, review lab space, meet with a realtor, tour day cares (if applicable), review WolfPerk options, a formal lunch or dinner off campus, and tour the Raleigh area.
- If necessary, the Department HR Partner can request no pay access (Z547 job code) to start the new hire with a Unity ID (including Moodle, email access, PINs, etc.).
- Remind new faculty of moving related requirements and expenses, if applicable. The Deferred Salary and Non-Compensation Form must be completed and approved before an Offer Letter is presented to the employee. See POL 05.15.03 – Non-Salary and Deferred Compensation, section 4.
- Introduce faculty to the University Faculty Onboarding guide and University HR Employee Resource services (like Dual Career Assistance, etc.).
- Contact relevant college and department staff to initiate asset tracking.
- Assign a faculty mentor to the new faculty member.

3.6 Training and Development

3.6.1   The Provost's Office supports NC State faculty with resources that strengthen their teaching, research and service on campus and in the community.

3.6.2   The Office of Faculty Development supports the mission of NC State by fostering and facilitating the success of NC State's faculty.

3.6.3   Professorships are handled by the Senior Associate Dean and Advancement Office, as appropriate, and include but are not limited to:

- Office of Faculty Development Awards and Honors

- Office of the Executive Vice Chancellor and Provost Awards and Honors

3.6.4   Learning and Organizational Development (L&OD) builds the knowledge, skills, and abilities of NC State's workforce by helping them develop and achieve their potential so that the organizations they work for can succeed and grow. L&OD fosters a learning culture where employees are engaged in continuous learning.

3.6.5   Continuing & Professional Education at NC State University also provides continuing education opportunities, professional workshops, seminars and conferences.

3.6.6   Departments may have funding available for professional development such as conferences, travel, or training.

3.7 Performance Management

3.7.1 Annual Review: Every Professional Faculty member turns in an activity or achievement report (Faculty Activity Report, FAR) annually to the department head. The faculty and department head find time to meet after the report is submitted. The department head provides a written summary to the faculty member providing feedback on their performance. The SFR should be used in reviews of faculty to provide context for their accomplishments in different realms of responsibility. The Annual Review meetings take place in the Spring.

3.7.1.A The College of Sciences Dean's office allows an exemption from the annual review for the year/s that faculty are also up for RPT. Department processes may vary.

3.7.2 Peer review of teaching is to be conducted for all faculty with teaching assignments. The required number of peer reviews is found in the Evaluation of Teaching Regulation. Any case that does not contain the required number of evaluations **must** include an explanation in the Department Head's assessment.

3.7.3 Reappointment and Promotion: Professorially ranked Professional Faculty member being promoted is outlined on the Provost's website.

3.8 Promotions

3.8.1 Professional faculty would meet with their Department Head to initiate a request to be considered for promotion or title change, or a Department head would recommend a professional faculty to think about being considered for promotion or title change.

3.8.2 Promotion of Professional Faculty (except Lecturers, see 3.8.3.) will go through the RPT process to receive a subsequent contract at a higher rank (see section 9 of REG 05.20.34). Documentation should include a current curriculum vitae and materials that would be included in the dossier section appropriate to the faculty member's responsibilities as reflected in the SFR (e.g., Teaching, Scholarship/Research, Extension and Engagement, Service). Full dossier is not required. See REG 05.20.34 – Professional Faculty Ranks and Appointments, section 8.

3.8.3 Lecturers can have a title change to professional faculty with professorial rank. This is not considered a promotion and does not go through RPT. See section 10.1.3 of REG 05.20.34, if a Lecturer or Senior Lecturer attains the qualifications for Assistant Professor rank, a title change to Assistant Professor with a Professional Faculty modifier may be made if supported by a positive DVF vote, a justification from the Department Head, and approval of the Dean. As of January 2019, COS HR confirmed that the Provost agrees that a Lecturer would move to the professorially ranked professional faculty as an assistant professor; any promotion thereafter to associate professor would come as the result of participation in the RPT process.

3.8.4 Conversion from Professional Faculty to Tenure-Track: The Department Head, after consultation according to the procedures set forth in section 6.2 of POL 05.20.01, may request to convert professional faculty to a tenure-track position in accordance with department and university policy, see section 11. The professional faculty member must be considered through the procedure for a <u>new</u> appointment as set forth in NCSU POL05.20.01 – Appointment, Reappointment, Promotion and Permanent Tenure.

3.9 Resources for New EHRA Professional Faculty

3.9.1 Benefits: NC State University offers health insurance to eligible faculty/staff (SHRA/EHRA employees) who work at least 30 hours per week (.75 FTE), and who work on a recurring contract of 9 months or greater. New employees must enroll within 30 days of their hire/start date. In addition to health insurance, NC State offers a comprehensive benefit package outlined on the NC State Benefits website.

3.9.2 Payroll: Faculty are paid on a monthly payroll schedule, which can be viewed on the University Controller's Office website. Detailed payroll FAQs are outlined on the University Controller's Office website.

3.9.3 Payroll for new 9-month faculty: 9-month faculty are paid over 12 months. To avoid what the University considers "pre-paying" an employee, new 9-month faculty starting August 16 will receive their

first paycheck in August. The August paycheck will be 2/12ths of their annual salary (for July & August). The September paycheck will be the regular, on-going monthly paycheck amount.

3.9.4 College of Sciences New Faculty Orientation is typically a 4-day training in the beginning of August.

3.9.5 University New Faculty Orientation (NFO): NC State's Office of Faculty Development offers NFO for all full-time tenured, tenure-track and full-time professional faculty new to the University and for those who have come to NC State within the past year, or did not attend the preceding year's NFO. Departments can invite new faculty to mark this date on their calendar, typically a 2-day training in mid-August before classes start.

3.9.6 System Access Request (SAR) Permissions: Access to the SAR web application is not available to all employees. Each department/unit has a management-designated SAR admin user who will grant access to SAR. The SAR administrator will need to be contacted to request SAR permissions as needed for faculty.

3.9.7 Parking: For faculty that need to visit on campus prior to their Onboarding appointment, a guest permit can be requested with a departmental account at: https://ncsu.aimsparking.com/

3.9.8 Access to Moodle: With Z547 No Pay access (see 3.5.2), a Unity ID is generated so that the department Business Office can request SIS SAR Access.

3.9.9 Access to Email: With Z547 No Pay access (see 3.5.2), a Unity ID and email address is created.

3.9.10 Keys/Building Access: Faculty should contact their Department Business Office to request keys, building, or electronic badge access. Badge access cannot be granted until after an Onboarding appointment is completed and a Wolfpack One Card is issued.

3.9.11 Office / Lab Space: Contact department business office for office or lab space needs (paint, equipment, renovation, etc.). There may be furniture that could be sent to or purchased from surplus.

3.9.12. Computers and supplies: Contact department business office for computers and supplies.

3.10 Frequently Asked Questions: Day-to-Day Operations

Q1. How do I get access to the Marketplace as a Shopper?
> **A1:** A SAR (System Access Request) must be initiated and submitted by the department Business Officer. All employees have "window-shopper" access to the Marketplace without a SAR request to become a shopper.

Q2. I am planning to travel for work. What do I need to do?
> **A2.** The faculty member first completes a travel authorization in MyPack Portal. The travel authorization routes to the department head and funding authorization points of contact (accounting technicians). The faculty member will be contacted if additional information is needed or when approved.

Q3. Where is my personnel file stored and how can I view it?
> **A3.** Faculty reviews are stored within the department business office. Official personnel files are stored in COS HR. To view your personnel file, an employee can complete the Access to Personnel File Request Form.

Q4. I want to hire staff, students or Post Docs. How and when should I initiate this request?

> **A4.** Depending on the classification and employment eligibility (i.e. student status, foreign national, etc.), these processes can take 2-4 weeks or longer. Faculty should let their Department HR Partner know as soon as possible when considering hires. Hiring students and temporary staff procedures are outlined in HR.01.02. Hiring EHRA, SHRA, and Post Doc employees are outlined in HR.04.00.

Q5. How do I bring a volunteer or camp on campus?

> **A5.** To bring volunteers or initiate a camp / program that involves the participation of minors on campus, please see these FAQs. To bring volunteers on campus, the COS Volunteer Request Form must be completed at least a month in advance.

Q6. How can I learn more about WolfTime and Kaba in my supervisor role?

> **A6.** Supervisors are required to approve timesheets and leave requests (if applicable) for their direct reports. More information on WolfTime and Kaba can be found here: https://wolftime.hr.ncsu.edu/.

3.11 Employee Relations

> **3.11.01** Employee Relations is dedicated to providing consultative services based on a wide range of issues related to individual employment as well as organizational effectiveness and work environment issues**.** Employee Relations partners with faculty senate. The Assistant Dean for Talent, Culture, and Human Resources is the primary employee relations contact for the College of Sciences.

> **3.11.02** The Faculty Ombuds Office has two primary roles:
>> ● First, the faculty ombuds is a confidential resource, a sounding board that also provides information, discusses University policies and procedures, and helps faculty resolve situations early.
>> ● Second, the faculty ombuds pays close attention to systemic concerns and brings these to the attention of the University while protecting the confidentiality of the information.

> **3.11.03** The NC State University Faculty & Staff Assistance Program (FASAP) Program provides support, resources and information for personal and work-life issues. The FASAP Program is university-sponsored, confidential and provided at no charge to you and your dependents.

3.12 Separation: Separation of faculty employment is detailed in section 9 of POL 05.20.01 – Appointment, Reappointment, Promotion and Permanent Tenure.

> **3.12.01 Resignation:** EHRA employees are expected to provide their immediate supervisor with one month of advance written notice of resignation.

> **3.12.02 Voluntary Separation:** To begin the separation/off-boarding process, notify COS HR as soon as you are aware of an employee's separation. This notification should come in the form of a resignation letter/email or proof of last day worked via email to College of Sciences Human Resources. Supervisors should work with their Department Representative to assist them with the separation of an employee. The Department Representative should use the Sciences Separation/Transfer Form to complete required items and to see important reminders for separating employees.

> **3.12.03 Involuntary Separation**: Department Representatives and/or supervisors should contact the Assistant Dean for Talent, Culture, and Human Resources, when considering an involuntary separation.

3.12.04 Non-renewal of a contract: Professional faculty are on fixed-term contracts, however as a courtesy, departments may provide notice to faculty on multiple-year contracts similar to that provided to EHRA Professionals, e.g., **1)** during the first year of service, not less than 30 days notice prior to discontinuation of employment; **2)** during the second and third years of service, not less than 60 days' notice prior to discontinuation of employment; and **3)** during the fourth and all subsequent years of service, not less than 90 days' notice prior to discontinuation of employment (see 6.4, REG 05.20.34)

3.12.05 Retirement is outlined in SOP HR.05.00 and the COS Retirement and Phased Retirement Process Map.

3.12.06 Emeritus Status: Any professional faculty member who has served for ten or more years in a full-time faculty position at NC State University is eligible for emeritus/emerita status. Procedures for granting emeritus/emerita faculty status are available through the Office of the Provost, see POL 05.20.02 – Emeritus/Emerita Faculty Status for Faculty and Senior Administrators.

3.12.07 Imposition of Serious Sanctions: During any appointment, a faculty member may be discharged or subject to the imposition of serious sanctions in accordance with the procedures prescribed in Section 603 of The Code. Also see REG 05.25.05 for the Faculty Discharge Hearing Procedures.

4. Changes and Review

Subsection	Summary of Changes	Date
Whole Document	Replaced NTT and Non-Tenure Track with Professional Faculty	9/10/2020