

Report of the Provost's Task Force on Statements of Mutual Expectations

Submitted 19 April 2017

Background

A memorandum on September 30, 2016 from Provost Arden established this Task Force with the following members: Bob Abt (Natural Resources), Don Brenner (Engineering), Alina Chertock (Sciences), Jessica DeCuir-Gunby (Education), Jason Delborne (Natural Resources), Carolyn Dunn (Agriculture and Life Sciences), Elizabeth Hardie (Veterinary Medicine), Jonathan Horowitz (Veterinary Medicine), Sharon Joines (Design), Jane Lubischer (Chair, Sciences), Marguerite Moore (Textiles), Seth Murray (Humanities and Social Sciences), Denis Pelletier (Management), and Heike Sederoff (Agriculture and Life Sciences). Support was provided by Katharine Stewart, Vice Provost for Faculty Affairs, and Amy Jinnette, Assistant Vice Provost for Academic Affairs.

From the Provost's original memorandum:

"The purpose of this task force is to address questions and concerns about SMEs that have arisen frequently in routine departmental and faculty work as well as in the process of faculty review, especially RPT and post-tenure review. The goal of the Task Force will be to make recommendations to me about how to achieve more clarity and consistency in SMEs and their use at NC State while maintaining sufficient flexibility to serve the needs of the very diverse disciplines across the university."

The Task Force began by clarifying the intended purpose of the SME and establishing the goals of our work. These goals were informed by our charge, by conversations at our first meeting with Provost Arden and Vice Provost Stewart, by the 2015-2016 Annual Report of the University Reappointment, Promotion, and Tenure Committee (URPTC), and by a review of the current regulation on SMEs. We then proceeded to develop the recommendations and materials presented below. On February 28, 2017, the Chair of the Task Force also met with the Governance and Personnel Policy Committee of the Faculty Senate, receiving feedback on an early version of these recommendations. The Task Force completed its work over the course of 8 meetings from November 14, 2016 through April 6, 2017.

Task Force Goals

The Provost's Task Force on Statements of Mutual Expectations identified two primary goals:

- to clarify the purpose and appropriate structure of the SME
- to create mechanisms for implementation (i.e., the process of creating and submitting SMEs) that will result in greater adherence to guidelines regarding this document

It is our hope that our efforts to address these two goals will improve the RPT and faculty review processes, but we recognize that such improvements also require the active involvement of department heads and formal mentoring systems for faculty. In addition, all colleges and departments should review their RPT rules both with regard to appropriate use of the SME in the RPT process and with regard to inclusion of standards (by realm) appropriate to all faculty eligible for promotion, including those not on the tenure track.

Overview of Recommendations

The Task Force identified three important mechanisms for clarifying the purpose and appropriate structure of the SME (our first goal). First is to identify a more appropriate name that avoids current misinterpretations. Second is to rewrite the existing regulation (REG 05.20.27) with the goal of providing clear guidance and firmer language on what can and cannot be included in this important document. Third is to provide supporting documentation in the form of a template SME and a sample set of annotated realms of responsibility. The Task Force determined that we could meet our second goal through a well-designed online submission tool, and our report provides detailed specifications on the desired capabilities of such a tool.

Briefly, the Provost's Task Force on Statements of Mutual Expectations recommends the following:

- a change in name from “Statement of Mutual Expectations (SME)” to “Statement of Faculty Responsibilities (SFR)”
- substantial revision of REG 05.20.27 to clarify the purpose and appropriate content of the SFR, as well as the role of the SFR in the context of RPT and other faculty review processes
- an earlier deadline for completing the SFR (3 mos rather than 12 mos after the start date) and annual certification of the continued accuracy of the SFR by all signatories
- an online submission tool that will allow customization of content while requiring conformity to certain required features (e.g., providing a percent for each realm of responsibility)
- a requirement that the SFR refer to departmental and/or college rules that describe all applicable performance standards for the faculty member
- a revised Template for SFRs
- examples of language for each realm of responsibility showing common errors, annotated and edited to fix those errors
- a requirement that the SFR be included in the documentation shared with external reviewers and a suggestion that the university review its regulations to provide clear guidance regarding what materials should be shared with external reviewers
- encouraging all colleges and departments to review their RPT rules to ensure appropriate use of the SFR and to ensure that standards are available and appropriate to all faculty eligible for promotion, including those not on the tenure track and those hired into interdisciplinary positions
- encouraging the Provost's office to work with departments and colleges on how to handle faculty hired through the Chancellor's Faculty Excellence Program (aka, cluster hires) with regard to promotion, especially those faculty who opt for the interdisciplinary review option and therefore are not necessarily guided by a single set of departmental standards for promotion

The Task Force recognizes that implementation of our recommendations will involve some challenges and will involve decisions that require a clear understanding of the intent of our recommendations. Members of the Task Force are willing to consult as needed with the Provost's office on any questions or concerns regarding implementation, and we encourage you to contact us as needed.

Our Starting Point

After reviewing our charge, the current SME regulation, and materials from URPTC annual reports, the Task Force agreed upon the following as a starting point for our work.

1. The SME serves (1) to provide guidance to the faculty member in understanding the work expected of them, (2) as a tool for the department head in defining the contribution of that faculty member to the overall work of the department, and (3) as an important part of the larger RPT process for that faculty member.
2. The SME is not intended to provide performance standards by which to assess the work of the faculty member, nor is it intended to serve as an annual plan of work.
3. Inconsistency in the understanding, usage, and format of this document undermines its utility and creates substantial challenges for fair and critical review during the RPT process, especially at the university level and, in some cases, by external reviewers.
4. The fairness and perceived fairness of the RPT process would benefit from an understanding of the role and proper use of the SME that is consistent across all those involved (i.e., faculty, departmental voting faculty, department heads, deans, RPT committees, external reviewers) and among all units on campus (i.e., departments, colleges, interdisciplinary clusters, the Provost's office).
5. This Task Force cannot consider the SME without considering the larger context of RPT. This does not require a detailed review of all aspects of RPT, but does require defining a clear picture of how the SME fits within this broader context, which may result in suggested changes to (or clarification of) other aspects of the RPT process.
6. Our proposal should:
 - a. be broad and flexible enough to accommodate the diversity of roles and disciplines of faculty across NC State
 - b. include sufficient constraints to result in a recognizable, consistent, and user-friendly document for all individuals and committees using or reviewing the SME
 - c. provide clarity on the role of the SME with regard to the faculty member, the department, and the RPT process
 - d. provide clarity on the proper use of the SME in the context of other parts of the dossier and in the context of all PRRs governing the RPT process
 - e. result in faculty dossiers that are of use to all participants in the RPT process (at all levels and including external reviewers), regardless of the department, disciplinary area(s), or specific responsibilities of the faculty member being reviewed

Recommendations with Justification

This Task Force formed not because of concerns about the intended purpose or structure of the SME, but because of the wide variety of *interpretations* across campus regarding this document. Different uses of the SME across colleges and departments have resulted in tremendous variety in format and content of a document that is a critical part of the RPT process. URPTC annual reports repeatedly have suggested finding ways to create greater consistency in the format and use of this document within the RPT process.

Our recommendations focus on clarifying the purpose and appropriate structure of the SME and its relationship to other aspects of the RPT Dossier, faculty reviews, and promotion processes for all NC State faculty of any rank or track. In defining the role and content of the SME, we have also indicated how it relates to other documents, regulations, and rules involved in faculty reviews and RPT. We are also recommending changes in how SMEs are created and submitted that are designed to encourage and, in some cases, require faculty and department heads to include appropriate content in creating this document.

It is essential that all departments and colleges take this opportunity for a comprehensive review of their departmental and college rules related to subsequent appointment, reappointment, promotion, conferral of tenure, and faculty reviews. Departmental RPT rules must include standards for promotion (in each realm of responsibility relevant to that department) and guidance on the processes involved, with reference to university policies as appropriate. Updating these rules is especially important for departments that were accustomed to using the SME to describe performance standards – these should instead be included in departmental rules.

Departmental Voting Faculty and College RPT Committees must review applicable promotion standards (departmental and college) together with the RPT Dossier (REG 05.20.20). Individual faculty members should have full access to (and awareness of) all applicable promotion standards.

Recommendation 1: Change the name to Statement of Faculty Responsibilities (SFR). The first step in clarifying the purpose of the SME is to identify a more appropriate name. The term “mutual expectations” has been interpreted in ways that are inconsistent with the existing regulation on SMEs.

One misinterpretation is that “mutual” implies that both parties (faculty member and department head) have equal say in determining the content of the SME. However, all faculty members must have an SME on file, and in the event that the faculty member does not sign, the SME is considered valid with only the department head signature.

A second misinterpretation is that “mutual responsibilities” allows the faculty member to indicate their expectations of the department, but the SME is intended only to identify the expectations of the faculty member’s percent effort in each realm of responsibility.

A third misinterpretation arises from the term “expectations,” which can refer either to the *type* of work to be done (i.e., realms of responsibility) or to the *standards* to be met in doing that work; the SME is intended to document the former but not the latter.

Accordingly, **we recommend “Statement of Faculty Responsibilities” as a name that more precisely aligns with the intended purpose of this important document.**

Recommendation 2: Revise REG 05.20.27 to clarify the purpose and structure of the SFR. The primary sources of information about this document are REG 05.20.27 and a Sample Statement of Expectations

available online. In **Appendix A (final text) and Appendix B (red line version)**, we provide our recommended rewrite of REG 05.20.27. The **revised REG 05.20.27 Statements of Faculty Responsibilities** clarifies the purpose of the SFR, names the six realms of responsibility that might be included (currently included only in a policy addressed to tenure track faculty), and explicitly identifies the sort of content that should and should not be included in the SFR. This new REG 05.20.27 also places the SFR in the context of faculty review and promotion processes and describes the timeline and process for creating, certifying, and (when appropriate) modifying the SFR. REG 05.20.27 should also include two new documents as additional references: the Template for SFRs (Recommendation 7 and Appendix D) and the annotated Example Realms (Recommendation 8 and Appendix E).

Recommendation 3: Require that SFRs be completed within 3 months of the initial appointment date. Given the importance of the SFR in creating an understanding between the faculty member and their department head(s) about the type of work that is expected, the Task Force recommends that **the SFR should be prepared during the initial 3 months of appointment**. Development of the SFR involves close communication between the faculty member and their department head(s). It is essential that a new faculty member have a clear understanding of what is expected in terms of percent effort by realm – and that this happens early during their employment at NC State. It is also important that the faculty member be made aware of all rules, regulations, and policies that impact their promotion.

Recommendation 4: Require annual certification of the continued accuracy of the SFR. The SFR is not intended to change frequently during the faculty member's career, but some changes in responsibilities may require submission of a revised SFR. The SFR will be reviewed during the annual faculty review, together with the annual Faculty Activity Report and Plan of Professional Development (REG 05.20.03). After each Annual Review, **the faculty member and their department head(s) must certify that the SFR remains an accurate reflection of the percent effort expected of the faculty member** by realm of responsibility. If changes in responsibilities require a change in the distribution of effort by realm, a revised SFR must be submitted.

Recommendation 5: Require that the SFR refer to relevant performance standards in departmental rules, college rules, and university regulations. The SFR should not be used to describe performance standards, but it is essential to the fairness of all faculty reviews and promotion processes that all parties involved be aware of the performance standards for each relevant realm of responsibility, for each rank, and for each type of faculty position. Accordingly, **the SFR must refer to specific rules and regulations that define standards of scholarship within each realm of responsibility relevant to that faculty member**.

Recommendation 6: Create an Online Tool for Submission of SFRs. We propose **creation of an online tool designed to handle and document submission, approval, annual certification, and revision of the SFR for each individual faculty member**. This online submission tool should provide clear instructions and, in some cases, constraints to encourage greater consistency across all SFRs in compliance with the guidelines provided in the newly revised REG 05.20.27 Statements of Faculty Responsibilities.

The proposed submission tool will route the SFR for electronic approval, and it will generate a print-friendly version of the SFR document that can be printed for inclusion in the faculty member's personnel file. Faculty may want to share this document in discussions with their mentor(s). The proposed submission tool will also generate a consistently formatted SFR document to be included in the RPT

Dossier. The RPT-ready document will include a short table that succinctly summarizes the percent effort by realm and any changes that have been made to those percentages during the faculty member's employment. When printed, this summary table should include a brief explanation of what the table represents, such as:

“The following table summarizes [faculty member name]'s percent effort in each realm of responsibility. The year (column 1) represents the first year that the indicated percentages in that row apply. If modifications were made to these percentages, column 1 indicates the year in which the percentages in that row took effect. If there is only one row, then no modifications have been made to the percent effort in each realm of responsibility since the year indicated in column 1.”

We provide more details regarding the **proposed online submission tool in Appendix C.**

Recommendation 7: Provide a new template for the SFR. To facilitate a clear understanding of the expected content and format of the SFR, we recommend replacing the current Sample Statement of Mutual Expectations with a **new Template for SFRs (Appendix D)**. This template includes a brief reminder of the purpose of the SFR and provides language that guides the user to include appropriate information. This template also is intended to be used to create a common format and some common language within the new Online Tool for Submission of SFRs (Recommendation 6). The Template for SFRs should be included as an “Additional Reference” in REG 05.20.27.

Recommendation 8: Provide example realms annotated and edited to illustrate and correct common errors. To further emphasize the sort of information that should be included in the SFR, the Task Force encourages use of the **Example Realms (Appendix E), which includes annotated and edited examples for each realm of responsibility that illustrate common errors and how to fix them.** The Example Realms should be included as an “Additional Reference” in REG 05.20.27.

Recommendation 9: Require that the SFR be included in documentation shared with external reviewers. We suggest that the Provost's office review regulations related to the RPT process with the goal of clarifying guidelines regarding what materials should be shared with external reviewers. Such a review is outside the charge of this task force, but during the course of our work, the inconsistency of materials shared with external reviewers was raised as a concern because of its impact on the fairness of the RPT process. It was also noted that the materials shared with external reviewers can impact how the RPT process at NC State is perceived by others. With regard to the SFR, we recommend that the important role of this document in faculty reviews be acknowledged by **requiring that the SFR be included as part of the materials provided to external reviewers.**

Recommendation 10: Encourage all departments and colleges to review and revise as needed their RPT rules. The SFR defines “what” a faculty member's responsibilities are, spelling out the percent effort by realm of responsibility. Promotion decisions also require a consideration of “how well” faculty perform those responsibilities. Fairness requires that the faculty member, their department head(s), and the departmental voting faculty have a clear and common understanding of both the faculty member's responsibilities by realm and the performance standards by which they will be reviewed within each realm. This is true not just for tenured and tenure track faculty, but also for faculty not on the tenure track. At NC State, these include Clinical Faculty, Extension Faculty, Research Faculty, Teaching Faculty, and Faculty of the Practice. **College and departmental RPT rules must include performance standards and expectations of scholarship for each realm of responsibility represented in that department.**

These rules must provide guidance to all faculty in the department who are eligible for promotion, regardless of rank or track. College and departmental RPT rules should distinguish the standards for tenure track and tenured faculty from the standards for other faculty eligible for promotion. It is also important that college and departmental RPT rules not simply repeat text from university regulations -- relevant university regulations should be referenced, but should not be reprinted in college and departmental rules.

Recommendation 11: Address the need for promotion standards for interdisciplinary cluster hires.

Faculty hired through the Chancellor's Faculty Excellence Program can choose to use a departmental voting faculty that crosses departmental (and sometimes college) boundaries. However, departmental RPT standards have not necessarily been written with these faculty in mind. There needs to be a **reconsideration of how to clearly define the RPT process and promotion standards for interdisciplinary cluster faculty.** It is important to identify early in the faculty member's career at NC State the percent effort by realm of responsibility, the makeup of their departmental voting faculty, and the promotion standards that will apply.

Recommendations on Implementation

Recommendation 12: Timeline. The Task Force encourages the Provost's office to implement our recommendations by January 2018, to be ready for the 2018-2019 hiring, review, and promotion cycles. The most time-intensive recommendation is creation of the Online Tool for Submission of SFRs, and we recommend that this effort begin in parallel with the steps necessary to revise REG 05.20.27 and other regulations impacted by these changes.

We recommend that all current faculty be asked to use the online tool to update their SMEs to SFRs once the tool is available and no later than 30 days after their next annual review. Faculty should not be expected to recreate their SME history in the new online tool, but as the university transitions from SME to SFR, some allowance should be made for faculty to include both documents in their dossier when the period of review includes this transition. Accordingly, we recommend that the online tool require faculty to upload their current SME (in a single pdf document) when they initially create their SFR.

We encourage the Provost's office to identify programs willing to pilot the new SFR format and new Online Tool for Submission of SFRs during its development and before university-wide implementation. The newly organized Department of Teacher Education and Learning Sciences in the College of Education, for example, has to update all SMEs and would be interested in participating. Their experience could provide information useful in finalizing the design of the online submission tool.

Recommendation 13: Communication. The Task Force suggests that communication about these changes begin even before the online tool is available. Communication efforts should begin with outreach to Deans and Department Heads, and can include sharing the Template for SFRs and the Example Realms documents, together with an explanation of the expected capabilities of the Online Tool for Submission of SFRs and an estimated timeline for implementation of the changes. The Provost's Office should make representatives available to visit faculty meetings to explain changes to REG 05.20.27 and the process of creating an SFR. These visits could also be used to collect questions and concerns from faculty that may be useful in finalizing the design of the online tool.

Recommendation 14: Implications for Other Regulations. Any regulation that currently refers to the

Statement of Mutual Expectations or SME will need to be revised to reflect the new name of this document. Furthermore, in reviewing such regulations, it is important to identify any that might contradict our revised REG 05.20.27 and make changes accordingly.

One example of a regulation that will require modification is REG 05.20.04 Post-Tenure Review of Faculty. Section 3.2 of REG 05.20.04 indicates that goals in the five-year plan should be included in the SME and implies that the SME serves as the sole basis for post-tenure review. As currently written, this section is inconsistent with our proposed new guidelines regarding this document. Other regulations that are likely to require more than simply changing the name from SME to SFR include REG 05.20.05 Consultation and Written Assessments, Recommendations and Responses in RPT Review; REG 05.20.20 Reappointment, Promotion, and Tenure Dossier Format Requirements; and REG 05.20.37 Faculty Teaching Workload.

Appendix A: Proposed New REG 05.20.27 Statement of Faculty Responsibilities

Related Policies:

NCSU POL 05.20.01 Appointment, Reappointment, Promotion and Permanent Tenure

NCSU REG 05.24.34 Non-Tenure Track Faculty Ranks and Appointments

NCSU REG 05.20.03 Annual Reviews of Faculty Members

NCSU REG 05.20.20 Reappointment, Promotion and Tenure Dossier Format Requirements

Additional References:

Template for SFRs

Example Realms Annotated and Edited

Online Tool for Submission of SFRs

1. Purpose of the Statement of Faculty Responsibilities (SFR)

The Statement of Faculty Responsibilities (SFR) is a statement of the percent effort expected of the individual faculty member in each realm of responsibility. The SFR serves three purposes. First, the SFR should guide faculty work effort. Second, the SFR can be used by the relevant department head(s) (or other appropriate supervisor in special cases) to ensure that the effort of each faculty member contributes appropriately to the mission and goals of NC State as well as the mission and goals of the faculty member's academic unit(s) (e.g., department, interdisciplinary cluster, college). Third, the SFR should be used in reviews of faculty to guide the relative weights placed on accomplishments in different realms of responsibility. To serve all of these purposes, the SFR must clearly identify the approximate percent effort to be devoted to each realm of responsibility that applies to the individual faculty member. Every faculty member must have an SFR, which is to be prepared in consultation with their department head(s) (see Section 2) and reviewed each year as part of the Annual Review (see Section 4).

The six realms of responsibility outlined by the university are Teaching and Mentoring of Undergraduate and Graduate Students, Discovery of Knowledge through Discipline-Guided Inquiry, Extension and Engagement with Constituencies Outside the University, Creative Artistry and Literature, Technological and Managerial Innovation, and Service in Professional Societies and within the University (Section 5.2 of POL 05.20.01 Appointment, Reappointment, and Permanent Tenure). Any realm to which 0% effort is expected should not be included in the SFR; any realm to which more than 0% effort is expected must be included in the SFR.

In addition to percent effort by realm of responsibility, some explanation of the types of activities appropriate within each realm can be included. However, because the SFR is not an annual plan of work, it is inappropriate to include too much detail (e.g., specific committee assignments, specific courses taught, specific meetings to be attended). Any information provided should be kept general enough to allow the faculty member the flexibility and intellectual freedom to pursue promising leads and special opportunities for creative scholarship within each realm included. Providing a general explanation for each realm also allows the department head the flexibility to meet department needs by adjusting specific assignments within each realm listed for that faculty member without having to modify the SFR. More detailed expectations can be included in the Plan for Professional Development, which includes the professional goals of the individual faculty member and should be reviewed during

each faculty Annual Review (REG 05.20.03 Annual Reviews of Faculty Members).

The SFR does not describe minimum qualifications for promotion to higher ranks, nor does the SFR describe performance standards for contract renewal, reappointment, promotion, tenure, or post-tenure review. The SFR should refer to relevant policies, regulations, and rules, but the SFR should not repeat or expand upon them. Qualifications for rank have been defined by the university (POL 05.20.01 Appointment, Reappointment, and Permanent Tenure; REG 05.20.34 Non-Tenure Track Faculty Ranks and Appointments). Standards of scholarship within each relevant realm of responsibility should be defined in departmental or college rules, in a manner inclusive of all faculty eligible for promotion and consistent with university general standards (Section 5 of POL 05.20.01 Appointment, Reappointment, and Permanent Tenure).

The SFR is used in conjunction with the annual faculty Activity Report and Plan for Professional Development in the Annual Review of the faculty member and in post-tenure reviews of tenured faculty members (REG 05.20.03 Annual Reviews of Faculty Members). For reviews related to reappointment, promotion, and tenure, the SFR provides a framework for understanding the relevant realms of responsibility and percent effort in each realm for the individual faculty member.

The SFR does not include a listing of faculty achievements. Faculty achievements in each realm of responsibility included in the SFR should be documented in the RPT Dossier (REG 05.20.20 Reappointment, Promotion, and Tenure Dossier Format Requirements). These achievements are to be reviewed in light of the relevant qualifications for rank and standards found in NC State policies, regulations, and rules.

The SFR does not describe the standards by which a faculty member is to be reviewed, but should include a statement that the faculty member will be expected to meet or exceed standards described in departmental and/or college rules, with reference to the specific rules that apply to that faculty member. Departmental and college rules should distinguish the standards for tenure track and tenured faculty from the standards for other faculty eligible for promotion, including Clinical, Extension, Research, and Teaching Faculty and Faculty Of the Practice (REG 05.20.34 Non-Tenure Track Faculty Ranks and Appointments) as appropriate to the department.

Fulfilling responsibilities defined in the SFR is necessary but not sufficient for reappointment, promotion, or conferral of tenure.

2. Development of the Statement of Faculty Responsibilities (SFR)

Development of the SFR will involve close communication between the faculty member and their department head(s). The individual faculty member and their department head(s) should prepare the SFR during the initial 3 months of appointment, following guidelines provided below. The completed SFR is to be submitted by the faculty member or department head via NC State's Online Tool for Submission of SFRs, which will route the SFR for approval by the appropriate individuals. A copy signed by the faculty member and department head(s) should also be kept in the individual faculty member's personnel file.

Failure to develop or agree to changes in the SFR must be brought to the attention of the dean by the department head. Consultation should then occur between the faculty member, the department head,

and the dean to resolve the matters at issue. If resolution is not achieved, ultimate authority for the content of the SFR remains with the department head.

3. Guidelines for the Statement of Faculty Responsibilities (SFR)

3.1 The SFR will:

- 3.1.1. follow closely the NC State Template for SFRs [ADD LINK]. Consistency in format across departments and colleges is essential for a document that will, at times, be reviewed by a university-wide committee.
- 3.1.2. identify realms of responsibility appropriate to the individual faculty member.
- 3.1.3. indicate the approximate percentage of effort that the faculty member is expected to devote to each realm of responsibility.
- 3.1.4. broadly outline, for each relevant realm of responsibility, the nature of the work expected (see Template for SFRs and Example Realms).
- 3.1.5. outline interdisciplinary responsibilities as appropriate for faculty with joint appointments or other affiliations that require interdisciplinary contributions in one or more realms of responsibility.
- 3.1.6. refer to appropriate departmental and college rules for explanations regarding the standards to which faculty will be held for promotion.
- 3.1.7. be generally consistent with the letter of offer.
- 3.1.8. include a table summarizing percent effort by realm and by year (to be generated by the submission tool).
- 3.1.9. include brief notes on any changes made, if a modified SFR is being submitted.
- 3.1.10. be limited in length by the online submission tool.
- 3.1.11. be included in the RPT Dossier and shared with external reviewers.

3.2 The SFR will not:

- 3.2.1. use a format or template other than that provided by the university.
- 3.2.2. describe qualifications for rank.
- 3.2.3. include contractual commitments to the faculty member.
- 3.2.4. describe standards or accomplishments required for promotion.
- 3.2.5. describe responsibilities in such detail that they unduly limit the faculty member's flexibility and intellectual freedom to pursue promising leads and special opportunities for scholarship in all of his or her realms of responsibility.
- 3.2.6. confuse percent effort with percent salary by funding source.
- 3.2.7. report accomplishments or activities completed.
- 3.2.8. omit any realms of responsibility to which the faculty member is expected to contribute.

4. Review and Modification of the Statement of Faculty Responsibilities

The SFR will be reviewed during the Annual Review (REG 05.20.03 Annual Reviews of Faculty Members), and each year the faculty member and their department head(s) must certify that the SFR remains an accurate representation of the percent effort by realm for that faculty member. This certification will be initiated by the department head using NC State's Online Tool for Submission of SFRs.

The SFR is to be modified only when significant changes occur in responsibilities associated with the individual faculty member's appointment; a modified SFR must be submitted when the percent effort for any realm of responsibility is changed. Recommended times for reconsideration of the SFR are after promotion with tenure, promotion in rank, and during post-tenure review. A review of the SFR may also be appropriate when there are changes in departmental leadership or when a faculty member assumes or relinquishes a substantial administrative position.

When modification of the SFR is warranted, the modified SFR is to be submitted by the department head via NC State's Online Tool for Submission of SFRs, indicating changes in percent effort by realm and providing a brief explanation of the reasons for those changes. It is suggested that a copy of the SFR signed by the faculty member and department head(s) also be kept in the individual faculty member's personnel file.

NC STATE UNIVERSITY
Policies, Regulations and Rules

Authority	Provost and Executive Vice Chancellor
Title	Statements of Mutual Expectations <u>Faculty Responsibilities</u>
Classification	REG05.20.27
PRR Subject	Employment - EPA
Contact Info	Vice Provost for Faculty Affairs (919-513-7741)

History: First Issued: Fall 1994. Last Revised: ~~December 11, 2013~~ DATE, 2017.

Related Policies:

[NCSU POL05.20.01 - Appointment, Reappointment, Promotion and Permanent Tenure](#)

[NCSU REG 05.20.34 Non-Tenure Track Faculty Ranks and Appointments](#)

[NCSU REG 05.20.03 Annual Reviews of Faculty Members](#)

[NCSU REG 05.20.20 Reappointment, Promotion and Tenure Dossier Format Requirements](#)

Additional References:

[A Collection of Samples and Guidance on How to Present Sections of the Dossier](#)

[Template for SFRs](#)

[Example Realms Annotated](#)

[Online Tool for Submission of SFRs](#)

1. Development of the Statement of Mutual Expectations

The Statement of Faculty Responsibilities (SFR) ~~Mutual Expectation (SME)~~ is a statement of the percent effort expected of the individual faculty member in each realm of responsibility. The SFR serves three purposes. First, the SFR should guide faculty work effort. Second, the SFR can be used by the relevant department head(s) (or other appropriate supervisor in special cases) to ensure that the effort of each faculty member contributes appropriately to the mission and goals of NC State as well as the mission and goals of the faculty member's academic unit(s) (e.g., department, interdisciplinary cluster, college). Third, the SFR should be used in reviews of faculty to guide the relative weights placed on accomplishments in

different realms of responsibility. To serve all of these purposes, the SFR must clearly identify the approximate percent effort to be devoted to each realm of responsibility that applies to the individual faculty member.~~written description of the mix of the individual faculty member's realms of responsibility and the mutually agreed-upon expectations from both the faculty member and the department during the faculty member's appointment.~~ Every faculty member must have an SFRSME, which is to be prepared in consultation with their department head(s) (see Section 2) and reviewed each year as part of the Annual Review (see Section 4). ~~Every faculty member is to maintain this document throughout their course of service to the university. The signed and dated SME in the faculty member's personnel file must be scanned and included in the RPT dossier.~~

The six realms of responsibility outlined by the university are Teaching and Mentoring of Undergraduate and Graduate Students, Discovery of Knowledge through Discipline-Guided Inquiry, Extension and Engagement with Constituencies Outside the University, Creative Artistry and Literature, Technological and Managerial Innovation, and Service in Professional Societies and within the University (Section 5.2 of POL 05.20.01 Appointment, Reappointment and Permanent Tenure). Any realm to which 0% effort is expected should not be included in the SFR; any realm to which more than 0% effort is expected must be included in the SFR.

In addition to percent effort by realm of responsibility, some explanation of the types of activities appropriate within each realm can be included. However, because the SFR is not an annual plan of work, it is inappropriate to include too much detail (e.g., specific committee assignments, specific courses taught, specific meetings to be attended). Any information provided should be kept general enough to allow the faculty member the flexibility and intellectual freedom to pursue promising leads and special opportunities for creative scholarship within each realm included. Providing a general explanation for each realm also allows the department head the flexibility to meet department needs by adjusting specific assignments within each realm listed for that faculty member without having to modify the SFR. More detailed expectations can be included in the Plan for Professional Development, which includes the professional goals of the individual faculty member and should be reviewed during each faculty Annual Review (REG 05.20.03 Annual Reviews of Faculty Members).

The SFR does not describe minimum qualifications for promotion to higher ranks, nor does the SFR describe performance standards for contract renewal, reappointment, promotion, tenure, or post-tenure review. The SFR should refer to relevant policies, regulations, and rules, but the SFR should not repeat or expand upon them. Qualifications for rank have been defined by the university (POL 05.20.01 Appointment, Reappointment, and Permanent Tenure; REG 05.20.34 Non-Tenure Track Faculty Ranks and Appointments). Standards of scholarship within each relevant realm of responsibility should be defined in departmental or college rules, in a manner inclusive of all faculty eligible for promotion and consistent with university general standards (Section 5 of POL 05.20.01 Appointment, Reappointment, and Permanent Tenure).

The SFR is used in conjunction with the annual faculty Activity Report and Plan for Professional Development in the Annual Review of the faculty member and in post-tenure

reviews of tenured faculty members (REG 05.20.03 Annual Reviews of Faculty Members). For reviews related to reappointment, promotion, and tenure, the SFR provides a framework for understanding the relevant realms of responsibility and percent effort in each realm for the individual faculty member.

The SFR does not include a listing of faculty achievements. Faculty achievements in each realm of responsibility included in the SFR should be documented in the RPT Dossier (REG 05.20.20 Reappointment, Promotion, and Tenure Dossier Format Requirements). These achievements are to be reviewed in light of the relevant qualifications for rank and standards found in NC State policies, regulations, and rules.

The SFR does not describe the standards by which a faculty member is to be reviewed, but should include a statement that the faculty member will be expected to meet or exceed standards described in departmental and/or college rules, with reference to the specific rules that apply to that faculty member. Departmental and college rules should distinguish the standards for tenure track and tenured faculty from the standards for other faculty eligible for promotion, including Clinical, Extension, Research, and Teaching Faculty and Faculty Of the Practice (REG 05.20.34 Non-Tenure Track Faculty Ranks and Appointments) as appropriate to the department.

Fulfilling responsibilities defined in the SFR is necessary but not sufficient for reappointment, promotion, or conferral of tenure.

2. Development of the Statement of Faculty Responsibilities (SFR)

Development of the SFR will involve close communication between the faculty member and their department head(s). The individual faculty member and their department head(s) should prepare the SFR during the initial 3 months of appointment, following guidelines provided below. The completed SFR is to be submitted by the faculty member or department head via NC State's Online Tool for Submission of SFRs, which will route the SFR for approval by the appropriate individuals. A copy signed by the faculty member and department head(s) should also be kept in the individual faculty member's personnel file.

~~The SME is to be prepared during the initial year (within 12 months) of appointment as a member of the faculty. Failure to develop or agree to changes in the SFR a SME must be brought to the attention of the dean by the department head. Consultation should then occur between the faculty member, the department head and the dean to resolve the matters at issue. If resolution is not achieved, ultimate authority for the content of the SFR remains with the department head. The SME is to be memorialized as a dated document signed by the faculty member, department head and, at the discretion of the college, the dean and placed in the faculty member's personnel file.~~

~~The SME is to be reviewed periodically and changes instituted as necessary, especially when significant changes occur in expectations associated with the faculty member's appointment or in the professional life of the faculty member. Recommended times for review of the SME are after promotion with tenure, promotion in rank, and during post-tenure review. Reviews of SMEs may also be appropriate when there are changes in department leadership, to ensure~~

~~that the new department head or chair is familiar with faculty members' current responsibilities and expectations as defined in the SME. Such reviews may also include review by the members of the Department Voting Faculty as documented in the department's review procedures. All substantive changes in the realms of responsibility are to be documented in the SME, including when the changes occurred and why such changes were deemed necessary.~~

~~Together with the annual faculty activity report, the SME provides the principal basis for annual evaluation of the performance of the faculty member and post tenure reviews. For reappointment, promotion and conferral of tenure, the responsibilities described in the SME will be evaluated in light of the standards defined in the University's Academic Tenure Policy (**NCSU POL05.20.01 – Appointment, Reappointment, Promotion and Permanent Tenure**), the Reappointment, Promotion and Tenure (RPT) rules of the department(s) and college(s) in which the faculty member is appointed and active, and the faculty member's performance in all areas of responsibility. Fulfilling the responsibilities defined in the SME is necessary but not alone sufficient for reappointment, promotion and conferral of tenure; the RPT dossier must include evidence of the faculty member's level of achievement in each are~~

3. Guidelines for the Statement of Faculty Responsibilities~~2. Contents of the Statement of Mutual Expectations~~

~~3.1. The SFR will:~~The faculty member and department head are encouraged to consider the following in development of the SME:

3.1.1. follow closely the NC State Template for SFRs [ADD REF]. Consistency in format across departments and colleges is essential for a document that will, at times, be reviewed by a university-wide committee.

3.1.2. identify realms of responsibility appropriate to the individual faculty member.

3.1.3. indicate the approximate percentage of effort that the faculty member is expected to devote to each realm of responsibility.

3.1.4. broadly outline, for each relevant realm of responsibility, the nature of the work expected (see Template for SFRs [ADD LINK] and Example Realms [ADD LINK]).

3.1.5. outline interdisciplinary responsibilities as appropriate for faculty with joint appointments or other affiliations that require interdisciplinary contributions in one or more realms of responsibility.

3.1.6. refer to appropriate departmental and college rules for explanations regarding the standards to which faculty will be held for promotion.

3.1.7. be generally consistent with the letter of offer.

3.1.8 include a table summarizing percent effort by realm and by year (to be generated by the submission tool).

3.1.9. include brief notes an any changes made, if a modified SFR is being submitted.

3.1.10. be limited in length by the online submission tool.

3.1.11. be included in the RPT Dossier and shared with external reviewers.

3.2. The SFR will not:

3.2.1. use a format or template other than that provided by the university.

3.2.2. describe qualifications for rank.

3.2.3. include contractual commitments to the faculty member.

3.2.4. describe standards or accomplishments required for promotion.

3.2.5. describe responsibilities in such detail that they unduly limit the faculty member's flexibility and intellectual freedom to pursue promising leads and special opportunities for scholarship in all of his or her realms of responsibility.

3.2.6. confuse percent effort with percent salary by funding source.

3.2.7. report accomplishments or activities completed.

3.2.8. omit any realms of responsibility to which the faculty member is expected to contribute.

~~2.1.— Initially the SME should reflect the responsibilities and expectations of both the faculty member and the department agreed to in the letter of offer.~~

~~2.2.— The faculty member should have adequate flexibility and intellectual freedom to pursue promising leads and special opportunities for creative scholarship in all of his or her mutually agreed upon realms of responsibility.~~

~~2.3.— A close and well-recognized linkage should exist between each individual faculty member's SME and the mission and goals developed by that faculty member's department(s), college(s) and university.~~

~~2.4.— A faculty member's SME must include a brief description of the following items as appropriate and consistent with the Academic Tenure Policy and college and departmental reappointment, promotion and tenure standards and procedures rules.~~

~~2.4.1.— List of appropriate mix of realms of responsibility agreed to by the faculty member, the department head representing the department and others as appropriate to the appointment,~~

~~and the dean of the college, including approximate percentage distribution of effort expected in those realms listed.~~

~~2.4.2.— Teaching responsibilities, including whether teaching will include undergraduate and/or graduate courses or areas of instruction, undergraduate advising, graduate advising as major professor or committee member, distance learning responsibilities, etc.~~

~~2.4.3.— Scholarship area(s) to be pursued by the faculty member, including names of departmental or college research centers or consortia, any multidisciplinary, multi-university, or other commitments expected.~~

~~2.4.4.— Creative artistry and literature expectations, e.g., as expressed in literary, performing, fine, and applied arts.~~

~~2.4.5.— Technological and managerial innovation expected, including description of technology transfer expectations, e.g., invention disclosures, copyrights, patents, designs, organizational processes, and constituency to be served.~~

~~2.4.6.— Extension and engagement responsibilities, including description of constituencies inside and outside the university to be served and areas of competence to be covered.~~

~~2.4.7.— Service responsibilities, including committees on which the faculty member is expected to serve within the department, college, university and professional society service roles. Description of administrative duties, e.g., Undergraduate Coordinator, Director of Graduate Programs, Center or Program Director.~~

~~2.4.8.— Reference to the performance standards for reappointment, promotion and tenure documented in the departmental and college rules.~~

~~2.4.9.— Summary of substantive changes in the realms of responsibility.~~

4. Review and Modification of the Statement of Faculty Responsibilities

The SFR will be reviewed during the Annual Review (REG 05.20.03 Annual Reviews of Faculty Members), and each year the faculty member and their department head(s) must certify that the SFR remains an accurate representation of the percent effort by realm for that faculty member. This certification will be initiated by the department head using NC State's Online Tool for Submission of SFRs.

The SFR is to be modified only when significant changes occur in responsibilities associated with the individual faculty member's appointment; a modified SFR must be submitted when the percent effort for any realm of responsibility is changed. Recommended times for reconsideration of the SFR are after promotion with tenure, promotion in rank, and during post-tenure review. A review of the SFR may also be appropriate when there are changes in departmental leadership or when a faculty member assumes or relinquishes a substantial administrative position.

When modification of the SFR is warranted, the modified SFR is to be submitted by the department head via NC State's Online Tool for Submission of SFRs, indicating changes in percent effort by realm and providing a brief explanation of the reasons for those changes. It is suggested that a copy of the SFR signed by the faculty member and department head(s) also be kept in the individual faculty member's personnel file.

Appendix C: Proposed Online Tool for Submission of SFRs

We propose creation of an online submission tool that will handle submission, approval, annual certification, and revision (when appropriate) of the SFR for each individual faculty member. The goal is to design an online tool that will:

1. require consistency across all SFRs in compliance with the guidelines provided in the proposed new REG 05.20.27
2. document (with dates) initial submission, annual certifications, modifications, and approvals of the SFR – essentially, maintain a history of each SFR
3. generate a consistently formatted SFR document to be included in the RPT dossier
4. generate a print-friendly version of the SFR document

Desired characteristics of the Online Tool for Submission of SFRs:

- Provide clear guidelines and links to other resources (Template for SFRs, Example Realms, REG 05.20.27)
- Prompt for name and user ID of the faculty member
- Allow users to SAVE and return at any point in the process before submission
- Start with check boxes to choose among: INITIAL SUBMISSION, ANNUAL CERTIFICATION, or MODIFICATION
- Use the check box choice to direct the user to appropriate prompts
- FOR INITIAL SUBMISSION – guide user through template-driven prompts; if an SFR is on file, users should not be allowed to select this option (i.e., there is only one initial SFR submission for each faculty member)
 - ✓ Prompt for academic home(s)
 - ✓ Prompt for appropriate signatories (name, email, unity IDs?)
 - ✓ Prompt for appointment date
 - ✓ Collect information from any existing SME to include in the summary table –
 - Ask if there is an existing SME and, if so, have the user enter the original (time of hire) percentages by realm
 - Ask if there were any changes to those percentages and prompt for any such changes to be entered by year the change took effect
 - Prompt for a “brief explanation of changes” (see MODIFICATION path, below) for each year in which there were changes
 - Prompt the user to upload a single pdf file of the existing SME
 - ✓ Force entry of percent effort for each possible realm (including 0% where appropriate) – allow whole numbers only
 - ✓ Check (and require) that the percentages entered add to 100% before allowing submission
 - ✓ Include in the prompts that follow only those realms for which effort greater than 0 is indicated
 - ✓ Prompt for brief description for each realm >0, with template language included that can be modified where appropriate
 - ✓ Constrain the each realm of responsibility to 200 words (or 1200 characters)
 - ✓ Provide required language for the Performance Standards section and prompt for relevant PRRs to cite
- FOR ANNUAL CERTIFICATION – provide previous SFR for review only and allow confirmation that no modifications are needed (route for e-signatures) or a return to the check boxes
- FOR MODIFICATIONS – provide previous SFR to be edited and include prompt for “brief explanation of why changes were made” – require that modifications include a change to the

percentages by realm listed in the SFR being modified

- ✓ Save the original and any modified version of the SFR, with dates of submission and approval
- ✓ Use percentages to populate a table that indicates percent effort by realm by year
- ✓ In the table, do not include a row for each year if no changes were made that year -- each row should represent either the first year the SFR was entered into the tool or the first year that new percentages take effect for that faculty member
- ✓ Use “brief explanation of changes” to populate a section to accompany the table
- Route for e-signatures (the faculty member should be the first to sign)
- Include an option for the faculty member to indicate that they refuse to sign
- If the faculty member refuses to sign or fails to sign within a set period of time, a note indicating this fact should be included as the SFR is routed to other signatories
- Allow users to print out an unfilled form as well as the saved or final document

Appendix D: Template for Statements of Faculty Responsibilities (SFRs)

The SFR should state, in general terms, faculty responsibilities by realm – the SFR is not an activity report or a plan of work or a plan for professional development. See REG 05.20.27 for a full explanation of the purpose and creation of the Statement of Faculty Responsibilities.

The Online Tool for Submission of SFRs will provide some of the language in the template below, so it is strongly recommended that the tool be used even for drafting the SFR. An SFR in progress can be saved and printed until the final version is ready for submission.

NOTE: All content in italics is meant to be replaced and/or deleted.

Statement of Faculty Responsibilities for [FULL NAME]

Realms of Responsibility (by percent effort) *[All realms in which effort is expected should be assigned greater than 0% effort and included below. Realms in which effort is not expected should not be included (enter 0%). The online submission tool will not allow explanations for realms assigned 0% effort, and it will require that percentages add to 100%.]*

Teaching and Mentoring of Undergraduate and Graduate Students

Approximate percent effort to be devoted to this realm of responsibility: *[insert #] %*

[Name] will commit to quality teaching consistent with the mission of the University and of the *[Academic Home(s)]*.

He/she is expected to *[briefly describe the expected teaching load without specific course names or numbers; also note if there are responsibilities in course development and other scholarship in this realm unless that scholarship is included in the Discovery of Knowledge section]*.

He/she is expected to *[briefly describe the expected advising and/or mentoring load]*.

[The SFR should avoid listing specific classes, products, or journal publications or otherwise limiting the faculty member's flexibility and intellectual freedom to pursue promising leads and special opportunities in this realm. Such details can also limit the ability of the department head to make adjustments as dictated by student and departmental needs.]

Discovery of Knowledge through Discipline-Guided Inquiry

Approximate percent effort to be devoted to this realm of responsibility: *[insert #] %*

[Name] will commit to quality research consistent with the mission of the University and of the *[Academic Home(s)]*.

He/she is expected to establish a *[can include something about general expectations, such as high impact, internationally renowned, externally funded, etc]* research program in the area of *[identify field to the degree appropriate to their position]*, and to disseminate original contributions to their field through means appropriate to the discipline.

[Do not require specific journals or otherwise limit the faculty member's flexibility and intellectual freedom to pursue promising leads and special opportunities in this realm.]

Extension and Engagement with Constituencies outside the University

Approximate percent effort to be devoted to this realm of responsibility: *[insert #] %*

[Name] will commit to quality efforts in *[extension, engagement, outreach, public science]* consistent with the mission of the University and of the *[Academic Home(s)]*.

He/she is expected to engage with people or organizations outside the University in *[specify region of state and/or topic of work as appropriate to the position]* through *[specify means of engagement as appropriate to the position but without unduly limiting the faculty member's flexibility and intellectual freedom to pursue promising leads and special opportunities in this realm]*.

Creative Artistry and Literature

Approximate percent effort to be devoted to this realm of responsibility: *[insert #] %*

[Name] will commit to quality efforts in *[creative artistry, literature, musical composition]* consistent with the mission of the University and of the *[Academic Home(s)]*.

He/she is expected to contribute in *[specify nature of contributions as appropriate to the position]*, resulting in *[specify as appropriate to the position, without unduly limiting the faculty member's flexibility and intellectual freedom to pursue promising leads and special opportunities in this realm]*.

Technological and Managerial Innovation

Approximate percent effort to be devoted to this realm of responsibility: *[insert #] %*

[Name] will commit to quality efforts in *[technological or managerial innovation]* consistent with the mission of the University and of the *[Academic Home(s)]*.

He/she is expected to contribute in *[specify general nature of contributions as appropriate to the position]*, resulting in new *[products, processes, or services – specify as appropriate, but without unduly limiting the faculty member's flexibility and intellectual freedom to pursue promising leads and special opportunities in this realm]*.

Service in Professional Societies and within the University

Approximate percent effort to be devoted to this realm of responsibility: *[insert #] %*

[Name] will commit to quality efforts in providing service to professional societies and other organizations outside of the University as appropriate to *his/her* disciplinary area.

He/she will contribute to the programs and governance of the University, the *[College Name]*, and the *[Academic Home(s)]* as requested or desired.

[Identify major administrative roles, but avoid other specifics (e.g., specific committees) that might unduly limit the faculty member's flexibility and intellectual freedom to pursue promising leads and special opportunities in this realm.]

Performance Standards

This document summarizes the percent effort expected within each realm of responsibility appropriate to *[Name]*. Fulfilling the responsibilities defined above is necessary but not sufficient for reappointment, promotion, or conferral of tenure. *[Name]* is expected to meet and strive to exceed performance standards in each of the above realms of responsibility and to an extent commensurate

with the percent effort indicated. Performance standards are documented in the *[Academic Home(s)]* Reappointment, Promotion and Tenure (RPT) Standards and Procedures Rule *[RUL ##.##.##]*, the *[College Name]* RPT Standards and Procedures Rule *[RUL ##.##.##]*, and relevant University policies and regulations *[POL 05.20.01 and REG 05.20.04 for tenure track faculty or REG 05.20.34 for faculty not on the tenure track]*. It is the responsibility of the department head(s) to ensure that appropriate performance standards are available for all of their faculty members. It is the responsibility of the faculty member and departmental voting faculty to review all applicable standards.

Signatories

[When prompted, indicate the names and titles of those who should sign the SFR in addition to the faculty member – such as the department head(s), director of another unit on campus, or the dean. For some faculty, this will be only their Department Head(s); other faculty may also have a chair of an interdisciplinary departmental voting faculty group; other faculty may be required to have their Dean sign. The online submission tool will route SFRs to these individuals.]

Explanation of Changes (when appropriate)

In *[YEAR]*, changes were made in the percent effort by realm of responsibility because *[briefly explain why changes were made, such as course buy out or change in administrative responsibility]*.

For example: Changes were made in the percent effort by realm of responsibility because Dr. Pack was named Director of the new Center for Bioinformatics and Agriculture effective August 2017 and will decrease his/her teaching and advising responsibilities.

[The online submission tool will document changes by creating a table showing percent effort by realm and by year. This table will be part of the SFR document to be downloaded for inclusion in the Dossier. The online submission tool will also maintain a history of the SFR so that changes made during the review period can be documented.]

Teaching and Mentoring of Undergraduate and Graduate Students (Annotated Example)

Approximate percent effort to be devoted to this realm of responsibility: 80 %

Although Dr. Pack's funding is 80% Academic, the expectation actually is for 40% effort in this realm.

Dr. Pack will commit to quality teaching consistent with the mission of the University and of the Department of Discipline X.

S/he is expected to teach two sections of BIO 125 each Fall semester, one undergraduate neurobiology course, and one graduate course on development of the basal ganglia.

Dr. Pack will also develop a small program in the scholarship of teaching and learning.

Dr. Pack is expected to advise undergraduate majors in the Department of Discipline and mentor graduate students. Dr. Pack may also be asked to serve as mentor to a junior faculty member.

Dr. Pack's teaching and mentoring will be assessed by student evaluations, peer reviews, new course development, innovations in teaching, and relevant publications and presentations.

1. Indicate percent effort for the realm (not percent of funding).

2. Course needs and course numbers can change. The SFR should focus, instead, on general load.

NOTE: For some faculty, this is appropriate to this realm; for other faculty it would be appropriate to the Discovery of Knowledge realm.

3. Do not include standards or processes by which faculty will be reviewed. Performance standards should be included in departmental RPT rules.

Final, edited version

Teaching and Mentoring of Undergraduate and Graduate Students

Approximate percent effort to be devoted to this realm of responsibility: 40 %

Dr. Pack will commit to quality teaching consistent with the mission of the University and of the Department of Discipline X.

S/he is expected to teach two courses per semester, typically including one graduate course each year.

Dr. Pack will also develop a small research program in the scholarship of teaching and learning.

Dr. Pack is expected to advise undergraduate majors in the Department of Discipline and mentor graduate students. Dr. Pack may also be asked to serve as a mentor to a junior faculty member.

Changes were made to:

1. correctly indicate the percent effort
2. reduce the level of detail on teaching and mentoring duties
3. remove mention of review processes or standards

NOTE: It is important to not split efforts across realms. For example, if teaching and learning is the disciplinary focus of this faculty member, it would be more appropriate to include research in that area within the Discovery of Knowledge in the Discipline realm rather than in Teaching and Mentoring. It would not be appropriate to include it in both realms.

Discovery of Knowledge through Discipline-Guided Inquiry (Annotated Example)

Approximate percent effort to be devoted to this realm of responsibility: 40 %

Dr. Pack will commit to quality research consistent with the mission of the University, of the Department of Discipline X, and of **the Center for Advancement of Focus Y.**

NOTE: Include only those qualifiers that are absolute and appropriate requirements for the position.

NOTE: For faculty who have more than one Academic Home, these should be included where appropriate.

S/he is expected to establish an **externally-funded, interdisciplinary** research program in the area of environmental toxicology, and **to publish an average of 3 papers each year in the Journal of Toxicology, Trends in Pharmacological Sciences, or the Journal of Equine Veterinary Science.**

4. Details on goals, accomplishments, or performance standards are not appropriate to include in the SFR.

5. Listing specific journals may unduly limit the faculty member's intellectual freedom and ability to pursue opportunities.

NOTE: If specific expectations regarding funding are an absolute and appropriate requirement for the position, they should be included in this realm, as long as they do not unduly restrict the faculty member's ability to pursue new opportunities.

Final, edited version

Discovery of Knowledge through Discipline-Guided Inquiry

Approximate percent effort to be devoted to this realm of responsibility: 40 %

Dr. Pack will commit to quality research consistent with the mission of the University, of the Department of Discipline X, and of the Center for Advancement of Focus Y.

S/he is expected to establish an externally-funded research program in the area of environmental toxicology, and to disseminate original contributions to the field through peer-reviewed journals or other means appropriate to the discipline.

Changes were made to:

- 4. remove specific goals or achievements*
- 5. reduce the level of detail on acceptable journals*

NOTE: If specific expectations regarding interdisciplinary research are an absolute and appropriate requirement for the position, they should be included in this realm.

Extension and Engagement with Constituencies outside the University (Annotated Example)

Approximate percent effort to be devoted to this realm of responsibility: 65 %

I will commit to quality efforts in extension and citizen science efforts that are consistent with the mission of the University and of the Department of Discipline X.

6. Do not write the SFR in the first person.

7a. Is this an appropriate level of detail or does it restrict the faculty member's intellectual freedom and ability to pursue new opportunities?

I am expected to engage with people or organizations outside the University in designing, implementing, and evaluating educational programs to address economic and environmental problems in viniculture in Duplin County.

7b. As in previous note, is this specific responsibility an absolute and appropriate requirement for this position?

I plan to expand my efforts this year by reaching out to grocery story chains to advocate for small farmers in Duplin County.

8. Plans for a given period of time should not be included in the SFR; these may be required in a Plan of Work or Plan of Professional Development.

Final, edited version**Extension and Engagement with Constituencies outside the University**

Approximate percent effort to be devoted to this realm of responsibility: 65 %

Dr. Pack will commit to quality efforts in extension, including efforts to engage the public in science, that are consistent with the mission of the University and of the Department of Discipline X.

S/he is expected to engage with people or organizations outside the University in designing, implementing, and evaluating educational and other programs to address economic and environmental problems in Duplin County.

Changes were made to:

6. write the SFR in the third person
7. adjust the level of detail to be appropriate to the position without being overly restrictive
8. remove specific goals or plans for a set period of time

NOTE: The online submission tool will not allow submission of any SFR for which the percent effort by realms does not add to 100%.

Creative Artistry and Literature (Annotated Example)

Approximate percent effort to be devoted to this realm of responsibility: 35 %

Dr. Pack will commit to quality efforts in creative artistry or literature consistent with the mission of the University and of the Department of Discipline X.

Dr. Pack is expected to contribute by **creating and performing in the visual and performing arts, resulting annually in new plays produced off-Broadway.**

Dr. Pack has performed in two Broadway plays. Further achievements in this realm will be reflected in public acknowledgements and professional awards.

9. Avoid specifics that might limit the faculty member's opportunities unduly. Include only those specifics that are an unchanging requirement of the position.

10. Do not include accomplishments or performance standards. Accomplishments should be documented in annual Faculty Activity Reports and the RPT Dossier. Performance standards should be described in departmental RPT rules.

Final, edited version

Creative Artistry and Literature

Approximate percent effort to be devoted to this realm of responsibility: 35 %

Dr. Pack will commit to quality efforts in creative artistry or literature consistent with the mission of the University and of the Department of Discipline X.

Dr. Pack is expected to contribute by creating and performing or producing new creative works that address pressing social issues and are disseminated in an appropriate manner.

Changes were made to:

- 9. *include only those details that are an absolute requirement of the position*
- 10. *remove descriptions of past performance standards and achievements*

Technological and Managerial Innovation (Annotated Example)

Approximate percent effort to be devoted to this realm of responsibility: 5 %

Dr. Pack will commit to quality efforts in technological or managerial innovation consistent with the mission of the University and of the Department of Discipline X.

Dr. Pack has received five patents and authored three white papers for national societies.

S/he is expected to **continue to** contribute in the area of **leadership styles in international organizations, resulting in new strategic approaches to organizational adversity**. Dr. Pack is expected to disseminate original contributions to their field in recognized journals or other means appropriate to the discipline.

11. Do not include awards or accomplishments in the SFR. These should be included in the annual Faculty Activity Report and the RPT Dossier.

12. Is this level of specificity appropriate for the position or will it potentially limit the faculty member in a manner inconsistent with their professional success?

Final, edited version

Technological and Managerial Innovation

Approximate percent effort to be devoted to this realm of responsibility: 5 %

Dr. Pack will commit to quality efforts in technological or managerial innovation consistent with the mission of the University and of the Department of Discipline X.

S/he is expected to contribute in the area of leadership styles and strategic approaches to organizational adversity. Dr. Pack is expected to disseminate original contributions to their field in recognized journals or other means appropriate to the discipline.

Changes were made to:

11. remove mention of awards and accomplishments
12. include only those details that are an absolute requirement of the position

Service in Professional Societies and within the University (Annotated Example 1)

Approximate percent effort to be devoted to this realm of responsibility: 20 %

Dr. Pack will commit to quality efforts in providing service to professional societies and other organizations outside of the University as appropriate to his/her disciplinary area and professional interests.

S/he will contribute to the programs and governance of the University, the College of Disciplines, the Department of Discipline X, or the Systems and Synthetic Biology Chancellors Faculty Excellence Cluster as request or desired.

Dr. Pack will serve on the Departmental Space Committee, the College Teaching Advisory Committee, and the Undergraduate Admissions Standing Committee. Dr. Pack also will provide leadership as Director of the Center for Bioinformatics in Agriculture.

13. Specific committees should not be listed, because these are likely to change during the course of employment.

NOTE: Major administrative roles should be included in the SFR. A change in administrative or other service responsibilities that results in a change in percent effort by realm should be documented by revising the SFR.

Final, edited version

Service in Professional Societies and within the University

Approximate percent effort to be devoted to this realm of responsibility: 5 %

Dr. Pack will commit to quality efforts in providing service to professional societies and other organizations outside of the University as appropriate to his/her disciplinary area and professional interests.

S/he will contribute to the programs and governance of the University, the College of Disciplines, the Department of Discipline X, or the Systems and Synthetic Biology Chancellors Faculty Excellence Cluster as request or desired. Dr. Pack also will provide leadership as Director of the Center for Bioinformatics in Agriculture.

Changes were made to:

13. remove specific committee assignments

NOTE: It is important to be clear about how the faculty member's work fits into each realm, and to avoid including the same efforts in more than one realm. For example, some extension might be viewed as service, but should not be included in both realms. Similarly, clinical work might have teaching, extension, and service components – these should be thoughtfully represented within the appropriate realms.

Service in Professional Societies and within the University (Annotated Example 2)

Approximate percent effort to be devoted to this realm of responsibility: 0 %

NOTE: If 0% is entered for a realm of responsibility, you will not be able to write anything about expectations in that realm, and the realm will not be included in the printable version of the SFR. If there are expectations in a realm, there must be some percent effort included.

NOTE: All realms of responsibility are included in these examples, but only for illustration purposes. It is unlikely that all realms will apply to any given faculty member. Include only those realms in which some effort is expected.