The ECU Office for Faculty Excellence and ECU Faculty Senate

Fall 2023

Updates about Personnel Actions for Promotion, Tenure, and Advancement

Anne Ticknor, Chair of the Faculty
ticknora@ecu.edu
Overview

- Recent UNC policy manual and Code changes and potential revisions
- Key Documents
- Key People
- Faculty Employment
- Annual Evaluation
- Progress Toward Tenure Letters
- The Personnel Action Dossier (PAD)
- Support
- Questions

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(Don Sexauer, Chair of the Faculty, Pieces of Eight, 1998)
Nor shall any employee or applicant be solicited or required to describe his or her actions in support of, or in opposition to, such beliefs, affiliations, ideals, or principles. Practices prohibited here include but are not limited to solicitations or requirements for statements of commitment to particular views on matters of contemporary political debate or social action contained on applications or qualifications for admission or employment or included as criteria for analysis of an employee’s career progression.

• Nothing in Section 5 modifies or otherwise affects the University’s existing guarantee of the right of academic freedom in its faculty’s academic scholarship or classroom instruction, or research pursuits, subject only to institutional academic tenure policies as contemplated in Section 602 of The Code, as well as applicable law and UNC Code and Policy.

• Nothing in Section 5 infringes upon the ability of an employee or applicant for academic admission or employment to voluntarily opine or speak regarding any matters, including those of contemporary political debate or social action, as contemplated in Section 5(a). Nor shall anything in Section 5 prohibit discussion with, or questioning of, an employee or applicant regarding the content of the employee’s or applicant’s resume, curriculum vitae, body of scholarship, or other written work or oral remarks presented by the employee or applicant in his or her own support.

ECU Compelled Speech website with additional guidance
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ECU Faculty Senate

UNC Code Chapter VI Revisions

SECTION 603. DISCIPLINARY DISCHARGE, SUSPENSION OR DEMOTION.

(1) A faculty member who is the beneficiary of institutional guarantees of academic tenure shall enjoy protection against unjust and arbitrary application of formal discharge, suspension, or demotion. During the period of such guarantees the faculty member may be discharged from employment, suspended without pay, or demoted in rank for reasons of:

(a) Incompetence, including significant, sustained unsatisfactory performance after the faculty member has been given an opportunity to remedy such performance and fails to do so within a reasonable time;

(b) Neglect of duty, including but not limited to, the sustained failure to meet assigned classes, respond to communications from individuals within the faculty member’s supervisory chain, report to their employment assignment and by continuing to be absent for fourteen (14) consecutive calendar days without being excused by their supervisor, or to perform other essential duties of their position or

(c) Misconduct of such a nature as to indicate that the individual is unfit to continue as a member of the faculty, including violations of professional ethics or engaging in other unethical conduct; violation of university policy or law; mistreatment of students or employees; research misconduct; financial or other fraud; or criminal, or other illegal or inappropriate conduct. To justify formal discharge, suspension, or demotion, such misconduct should be either (i) sufficiently related to a faculty member’s responsibilities as to disqualify the individual from effective performance of job duties, or (ii) sufficiently serious as to adversely reflect on the individual’s honesty, trustworthiness or fitness to be a faculty member.

Formal discharge, suspension, or demotion may be imposed only in accordance with the procedures prescribed in this section. For impositions of formal discharge, suspension, or demotion under this section of The Code, a faculty member serving a stated term shall be regarded as having tenure until the end of that term. These procedures shall not apply to Non-Reappointment, Denial of Tenure, and Denial of Promotion as provided in Section 604, Separation Due to Financial Elegibility or Program Curtailment as provided in Section 605, a grievance as provided in Section 607, or any other lesser employment action that is not a formal discharge, suspension, or demotion.

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Awards and Recognition
The Awards and Recognition committee created guiding principles for all award revisions, provided a list of recommendations, and recommended specific revisions to the Oliver Max Gardner and James M. Holshouser award descriptions and application processes. The committee members held additional meetings during the summer 2023 break, and they continue meetings beyond the date of this report to consider the Awards for Excellence in Teaching and a proposed award addressing innovation within the UNC System.

Evaluation of Teaching
The Evaluation of Teaching Committee recommended revising policies (and associated guidelines and/or regulations) to address three components: identifying instruments for evaluating teaching; interpreting and using teaching evaluation instruments; and practices related to teaching evaluations. When identifying the instruments, institutions should ensure they focus on student learning and opportunities for faculty to enhance pedagogy, with training on understanding and using the instruments and the inputs (surveys, evaluations, etc.). Institutional administrators should use the evaluations as formative measures for faculty development and use them to craft faculty development opportunities, as well as reward high-quality teaching. The institutions should be clear and transparent on the data collection for the evaluations, and in articulating how evaluations will be used.

The committee recommended that the UNC System Office play a role in assisting the institutions by offering training on using evaluations to enhance pedagogy and student learning experiences, as well as creating a “best practice toolkit” to assist institutions and the faculty.

Faculty Retirement and Incentive Program (FRIP)—dependent on state budget
The FRIP committee developed recommendations for an incentive program that would offer a voluntary retirement benefit to faculty, while allowing UNC System institutions to maximize resources and reinvest its resources, in alignment with each institution’s strategic priorities and long-term needs.

Faculty participation in FRIP would be voluntary, and the initial program would be a “proof of concept” to assist five institutions (East Carolina University, North Carolina Central University, UNC Asheville, UNC Greensboro, and Winston-Salem State University), due to their current and/or anticipated enrollment declines. Initial rollout would be a prototype for opt-in retirement plans at all UNC System institutions.

Best practices identified communication of the application and selection criteria (determined by each institution) is critical. Provosts, in consultation with institution leadership, would be responsible for reallocations and ensure administrative flexibility.

Faculty Workload—Policy 400.3.4 implementation AY 24-25
The Faculty Workload committee identified core principles, made a list of recommendations, and completed a proposed policy to supersede Section 400.3.4 of the UNC Policy Manual, Policy on Monitoring Faculty Workloads. The UNC System Office submitted a proposal to the Board of Governors at their May 24, 2023 meeting, and the Board subsequently approved the policy changes at the July 19, 2023 meeting. See https://www.northcarolina.edu/apps/policy/doc.php?type=pdf&id=185.

A short summary of the identified principles included the need for any policy to be broad enough to recognize variations in faculty types and work and our wide range of institutional missions, using accepted practices, while retaining equity in workload assignments and ensuring institutional and system clarity. The committee used and encapsulated the principles from the American Council on Education (ACE) 2022 report, Equity-Minded Faculty Workloads: What We Can and Should Do Now.

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UNC Faculty Workgroups

Post-Tenure Review (PTR)
The PTR committee, as well as the Steering Committee, concluded that the foundations of the UNC PTR policies broadly remain very sound. In fact, in a comparison to peer systems one could conclude that other systems may have used UNC PTR policies as a template—and recent changes in Florida bring them closer to UNC policies for PTR.

However, areas remain for improvement in UNC policies and regulations:
- Guiding documents should include a requirement for greater use of the annual performance review process to align with PTR expectations and progress, and the inclusion in the five-year PTR review of a faculty self-evaluation component.
- The UNC System needs to update the training videos to make them shorter and more relevant.
- Moving certification of required PTR training down to the college/school/department level, and not with the provosts. Doing so would increase oversight and improve process management.
- For faculty who “exceed expectations,” the committee recommended several actions to reward and recognize such performance, to include financial incentives, to improve morale and increase retention of high-performing faculty.

Professional Track Faculty
The Professional Track Faculty committee determined that the most productive path forward to meet its charge was to draft recommended policy language amending Chapter VI of The Code and identify additional recommendations to be included either in future policy changes or accompanying regulations. Section II of the full report provides the committee’s recommended amendments to Chapter VI of The Code. Section III provides additional policy recommendations to be considered for inclusion in either future policy amendments or regulations.

In developing its recommendations, the committee strove to achieve balance between establishing system-wide standards and allowing appropriate flexibility for constituent institutions to adopt policies tailored to fit the unique mission, culture, and circumstances of each institution.

The committee’s recommendations seek to actualize the following three goals:
- Accurately reflect the composition of the faculty in the policy language about faculty.
- Ensure equitable employment conditions for all paid faculty.
- Accord all paid faculty the opportunity to participate fully in and enjoy the benefits of the faculty role.

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Key Sections of the Faculty Manual

Part VIII, Section I - Personnel Policies and Procedures for the Faculty of ECU

Part IX, Section I
- Appointment, Tenure, Promotion, and Advancement Policies and Procedures
- Performance Review of Tenured Faculty

Part X, Section I – Personnel Action Dossier

Part X, Section II
- Tenure and Promotion Schedule
- Subsequent Appointment of Fixed-Term Faculty Timeline

Guidelines for Preparing a Cumulative Evaluation
(for Tenure/Promotion Committee and Unit Administrator)

Part XII – Faculty Appellate Provisions

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# Key People

<table>
<thead>
<tr>
<th>Role</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Unit Administrator</td>
<td>(Chair)</td>
</tr>
<tr>
<td>The Chair of Personnel Committee</td>
<td></td>
</tr>
<tr>
<td>Personnel Committees: Personnel, Promotion, &amp; Tenure</td>
<td></td>
</tr>
<tr>
<td>Unit Senator(s)</td>
<td></td>
</tr>
</tbody>
</table>
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### Faculty Employment

#### Tenure Track Faculty

**Reappointment, Tenure, and Promotion in rank**

- Responsibilities in all areas:
  - Teaching *and*
  - Research *and*
  - Service *and*
  - Clinical (if appropriate)

- It is possible to request early tenure and promotion.

- It is possible to request extensions in probationary term.

- When obtaining Promotion, University standard salary increase.

#### Tenure Track Faculty

- Annual Evaluation (Unit administrator)
- Annual Progress Toward Tenure Letters (Unit administrator + Tenure Committee)
- 2nd year - **1st PAD submitted**
  - Content of PAD determined by Faculty Manual
  - 4 peer observations needed
- 4th year - **2nd PAD submitted**
  - 4 additional observations needed
- 6th year - **3rd PAD submitted**
- Departmental copy of PAD returned to you when leaving ECU
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**Faculty Employment**

**Fixed-Term Faculty**

**Subsequent appointment and advancement in title**

- Areas of responsibility:
  - Teaching (and Service) or
  - Research (and Service) or
  - Clinical (and Service)
- It is possible to request advancement in title in the middle of a multiyear contract
- When obtaining advancement in title, salary increase varies by college.

**Fixed-Term Faculty**

- Annual Evaluation (Unit administrator)
- For each contract renewal: Portfolio submitted
- Content of portfolio determined by unit
- Peer observations most likely needed
- Recommendation for contract renewal (Personnel Committee to Unit Administrator)
- Contract length: 1, 2, 3 or 5 year
- In Academic Affairs, 33% percent in each college in 1-year contracts

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Annual Evaluation

- Done using Faculty 180. Deadline for submission usually given by unit administrator. Timing might change according to 9 vs. 12-month faculty status.
- Annual evaluation of faculty performance of assigned duties and responsibilities done by the unit administrator.
- All faculty evaluated regardless of rank or title.
- The evaluation is done according to criteria contained in the unit code approved by the Chancellor, which includes criteria for assigning relative weights for each area of faculty responsibility.
- The Annual evaluation shall
  - be in writing;
  - be discussed with the faculty member prior to being sent to any other administrator or placed in the faculty member's personnel file; in the case of faculty members with probationary term appointments, a record of this discussion shall be placed in the faculty member's personnel file;
  - be signed and dated by the unit administrator and the faculty member, who may attach to the evaluation a concise comment regarding the evaluation. The faculty member has seven working days after receiving the evaluation to attach the statement. The signature of the faculty member signifies that they have read the evaluation, but it does not necessarily indicate concurrence.
- The unit administrator shall forward to each faculty member a copy of that member's annual evaluation within ten calendar days of completing the evaluations of unit members.

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Progress Toward Tenure Letter

• Every year **except** the year prior to the year in which a faculty member’s mandatory tenure decision is considered
• Jointly written by Unit Administrator and Tenure Committee
• Written after completion of the candidate’s current annual evaluations and prior to end of the spring semester
• Letters address the candidate’s **cumulative accomplishments** to date, including successes and areas for improvement
• Candidates are evaluated **within the context of the unit’s ongoing expectations** of the candidate in the unit’s criteria for promotion and tenure
• The letter shall include **evaluative and formative language** that advises the candidate on how to meet unit expectations
• Letters must **not** be understood as a **guarantee** of the ultimate tenure decision
• Representative(s) of the Tenure Committee will **meet** with the unit administrator and the candidate to discuss in a formative manner the outcome of the progress towards tenure with suggested areas of improvement
• If candidate **disagrees**, they should notify in writing within **14 days** of the meeting

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## Progress Toward Tenure Letter

**Progress Towards Tenure (PTT) Letters -**

Required all years except the year prior to the year in which a faculty member’s mandatory tenure decision is considered

<table>
<thead>
<tr>
<th>Action</th>
<th>9 and 12 Month Faculty Deadline</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unit administrator provides the Tenure Committee with the candidate’s current annual report, copies of the candidate’s previous and current annual evaluations and previous progress toward tenure letters, and a draft of the new Progress Toward Tenure letter written by the unit administrator</td>
<td>3rd Friday in April</td>
</tr>
<tr>
<td>Tenure Committee meets with the unit administrator to review the cumulative record of a candidate’s progress and finalize the Progress Toward Tenure letter</td>
<td>4th Friday in April</td>
</tr>
<tr>
<td>Delivery of PTT letter and meeting that includes the faculty member, representative of the Tenure Committee and unit administrator to discuss the letter</td>
<td>End of the Spring Semester</td>
</tr>
</tbody>
</table>

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“The Personnel Action Dossier (PAD) is a collection of documents and lists of accomplishments in summary form that provides a record of the accomplishments of a faculty member seeking reappointment, promotion, or tenure. A PAD is compiled in a manner described in The Faculty Manual and is submitted each time a personnel action for reappointment, promotion, or tenure takes place.”

Part X, Section I of the ECU Faculty Manual
Preparation your PAD: General Recommendations

ECU has moved to Faculty 180 Reviews for Fall 2023!

1. Maintain an updated Faculty 180 profile
2. Collect and organize evidence (refer to Cumulative Report format)
3. Store PAD materials electronically
4. Be prepared to submit the PAD electronically
5. Back-up, BACK UP!!!

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Preparing the PAD

“Attention is paid both to productivity since the date of hire, tenure or last promotion (whichever is more recent), and accomplishments over one’s entire career ... the candidate should supply dates for all listed activities and accomplishments, making it possible for reviewers to identify clearly the chronology of accomplishments related to the time of hire, tenure or last promotion ...”

Part X, Section I of the ECU Faculty Manual

“A committee’s deliberations are not limited to the contents of the Personnel Action Dossier and may address any of the candidate’s contractual duties and professional conduct.”

Part IX, Section I of the ECU Faculty Manual
A. Cumulative Report and PASF
B. Recommendations
C. Records of Evaluation
D. Supporting Materials (Subfolders as appropriate)
E. Other Materials
F. Disagreements

PAD for TENURE AND PROMOTION

Tell your Story
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# Reappointment of Probationary Faculty

## Reappointment of Probationary-Term Faculty Members Timeline

<table>
<thead>
<tr>
<th>Action</th>
<th>9 Month Faculty Deadline</th>
<th>12 Month Faculty Deadline</th>
<th>Approx. Time Alotted for Decision</th>
</tr>
</thead>
<tbody>
<tr>
<td>PAD due to Tenure Committee for reappointment decision</td>
<td>3rd Tuesday in January</td>
<td>4th Tuesday in February</td>
<td></td>
</tr>
<tr>
<td>Committee recommendation to unit administrator</td>
<td>2nd Tuesday in February</td>
<td>3rd Tuesday in March</td>
<td>3 weeks</td>
</tr>
<tr>
<td>Unit administrator recommendation to Dean (if applicable)</td>
<td>1st Tuesday in March</td>
<td>2nd Tuesday in April</td>
<td>3 weeks</td>
</tr>
<tr>
<td>Dean recommendation to VCAA or VCHS</td>
<td>Last Tuesday in March</td>
<td>1st Tuesday in May</td>
<td>3 weeks</td>
</tr>
<tr>
<td>VCAA or VCHS decision</td>
<td>Last Tuesday in April</td>
<td>1st Tuesday in June</td>
<td>4 weeks</td>
</tr>
</tbody>
</table>
### Part X Personnel Action Dossier and Tenure and Promotion Schedule

#### SECTION II

**Tenure and Promotion Schedule**

The timelines designated in these schedules are the normal review cycles for the stated personnel actions. The Chancellor (or designee) may approve an adjustment to these timelines when compelling circumstances, as determined by the Chancellor (or designee), justify a temporary revision. For Promotion and Tenure consideration, the Chancellor (or designee) will adjust the schedule for notifications to faculty candidates when required by unforeseen circumstances, such as a change in the Board of Trustees meeting date normally held in the spring of the academic year.

#### Promotion and Tenure Timeline — Fall and Spring of Decision Academic Year*

<table>
<thead>
<tr>
<th>Action</th>
<th>9 and 12 Month Faculty Deadline</th>
<th>Time Allotted for Decision</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty member makes a request to the unit administrator to begin the process of consideration for promotion or early confirmation of permanent tenure</td>
<td>1st Friday in February</td>
<td></td>
</tr>
<tr>
<td>Faculty member submits a list of potential external reviewers to the tenure committee</td>
<td>3rd Friday in February</td>
<td></td>
</tr>
<tr>
<td>Tenure Committee submits a list of external reviewers to the unit administrator and selects materials to be sent to reviewers</td>
<td>4th Friday in March</td>
<td></td>
</tr>
<tr>
<td>Unit administrator sends letter and materials to confirmed external reviewers</td>
<td>Last Friday in April</td>
<td>4 weeks</td>
</tr>
<tr>
<td>Unit administrator informs committee of upcoming need for a meeting</td>
<td></td>
<td></td>
</tr>
<tr>
<td>External reviewers' reports due</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Faculty member meets with unit administrator to verify that all required documents are in PAD (optional but recommended)</td>
<td>1st Tuesday in September</td>
<td></td>
</tr>
<tr>
<td>Faculty member turns PAD to Committee</td>
<td>2nd Tuesday in September</td>
<td></td>
</tr>
<tr>
<td>Committee recommendation/PAD to unit administrator</td>
<td>4th Tuesday in October</td>
<td>6 weeks</td>
</tr>
<tr>
<td>Unit administrator recommendation/PAD to Dean (Note: Brody School of Medicine P&amp;T Committee reviews &amp; makes recommendation to ESMC Dean)</td>
<td>1st Tuesday in December</td>
<td>5 weeks</td>
</tr>
<tr>
<td>Dean recommendation/PAD to VCAAA or VCHS</td>
<td>1st Tuesday in February</td>
<td>6 weeks</td>
</tr>
<tr>
<td>VC decision/PAD to Chancellor</td>
<td>1st Tuesday in March</td>
<td>4 weeks</td>
</tr>
<tr>
<td>Chancellor decision</td>
<td>3rd Tuesday in March</td>
<td>2 weeks</td>
</tr>
<tr>
<td>BOT decision (Tenure Only)</td>
<td>Spring BOT meeting</td>
<td>Date varies each year</td>
</tr>
</tbody>
</table>

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External Reviews

Make sure you adhere to FM Part IX.I.IV.D and your unit code's procedures. If your unit code is older than 2017, procedures in the FM supersede the code.

The FM requires:
- 3 external review letters
- Reviewers must be at least at the rank to which the candidate is requesting promotion
- 1/3 of reviewers must come from the candidate lists

The unit code should specify:
- Number of reviewers above 3 that is necessary
- Qualifications for reviewers
- Conflict of interests for reviewers

The FM Part IX.I.IV.D offers guidance of what to do when:
- The list of potential external reviewers is exhausted before required number of external reviewers agree to review.
- Less than required number of confirmed reviewers submit their evaluation on time.
- More than required number reviewers submit their evaluation.

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# Fixed-Term Faculty Appointments

## Subsequent Appointment of Fixed-Term Faculty Members Timeline – Spring of Decision Year

<table>
<thead>
<tr>
<th>Description</th>
<th>Timeline Requirements</th>
<th>Unit Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fixed-term faculty members request consideration of a subsequent appointment and submit portfolio required by unit code</td>
<td>No later than 75 calendar days before term expires</td>
<td></td>
</tr>
<tr>
<td>Committee and unit administrator notify fixed-term faculty member in writing of subsequent appointment recommendation</td>
<td>No later than 45 days before term expires</td>
<td>30 days</td>
</tr>
</tbody>
</table>
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The Support: Suggestions

Dettmar's suggestions range from free and easy to somewhat more involved and costly.

- Bond with other chairs
- Read up on management skills
- Seek formal training

Article Link
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Rachel Baker
bakerr@ecu.edu
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East Carolina University’s Faculty Senate was the third senate created at an institution that is now part of the UNC system (we joined in 1971). ECU’s Faculty Senate, shared governance processes, and faculty leadership are well recognized at the system level.

ECU’s faculty grievance processes were utilized as examples in the development of other campus’ grievance processes, and our promotion and tenure processes have influenced other campus’ development of their own.