The ECU Office for Faculty Excellence and ECU Faculty Senate

Reappointment, Promotion, & Tenure Workshop

Anne Ticknor
Chair of the Faculty
Overview

- ECU by the Numbers
- ECU Faculty Senate
- Framework Documents
- Key Sections of the Faculty Manual
- Faculty Employment
- Progress Toward Tenure Letters
- 2023-2024 Electronic PAD
- Personnel Processes: General Recommendations
- Upcoming Changes
- Questions

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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.
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Framework Documents Connections

- **Part IV Revisions to align with UNC Policy Manual 300.8.5 Policy on Diversity and Inclusion**
  - Proposed revisions to East Carolina University Faculty Manual Part IV, Section I.II.b. (unit administrator responsibilities),
  - Part IV, Section II.IV (minimum code requirements),
  - Unit Code of Operation Format (code format)
- **Part VIII Revisions to align with UNC Policy Manual and Code Chapter VI, 100.1 (Academic Freedom and Tenure within the University of North Carolina)**
  - Proposed revisions to East Carolina University Faculty Manual Part VII.III, and the Annual Evaluation (Teaching, Scholarship, & Service)
- **Part X Revisions to align with UNC Policy Manual and Code 300.5.1 (Political Activities of Employees)**
  - Proposed revisions to East Carolina University Faculty Manual Part X.I.E, and the Cumulative Report (Teaching, Scholarship, & Service)
- **Part XI Revisions to align with ECU’s Mission**
  - Proposed revisions to East Carolina University Faculty Manual Part XI, Section IV.II Professional Development (remove PD requirement)

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Key People

The Unit Administrator (Chair)
The Chair of Personnel Committee
Your Senator(s)
Your Mentor(s)
Your Colleagues
### Tenure/Tenure Track Faculty Employment

#### 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
- When obtaining Tenure and Promotion, University standard salary increase.

#### Evaluation of 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**

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Faculty 180 for Electronic Personnel Actions

Used for Annual Reviews, Reappointments, and Tenure & Promotion
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**Annual Processes**

- **UA assigns workload responsibilities for next AY**
  - 9 month: End of Spring
  - 12 month: End of Summer
  After soliciting faculty preferences and apprising faculty of workload
  **FM VIII.I.II**
  Assignment of workload, including reassigned time for research, needs to be documented and included in PAD for TT

- **Annual Evaluation**
  For Probationary-Term faculty and Fixed-Term faculty: Meeting takes place at the beginning of each AY (in the fall)
  **FM IX.I.II.A.3** and **FM IX.I.II.B.4**
  Record of this meeting is placed in Personnel File (PAD)

- **UA meets with faculty to discuss criteria for evaluation of faculty performance**

- **Progress toward Tenure Letter**: after completion of the candidate’s current annual evaluations and prior to end of the spring semester.
  **FM IX.I.II.C.5**

- **Annual Evaluation used in PTT (for Tenure-Track Faculty)**
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**Annual Evaluation**

<table>
<thead>
<tr>
<th>SHALL</th>
<th>Faculty member may attach to the evaluation a concise comment regarding the evaluation.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>Be in writing</strong></td>
</tr>
<tr>
<td></td>
<td><strong>Be discussed with faculty member before sending it to higher administrator</strong></td>
</tr>
<tr>
<td></td>
<td><strong>Be signed and dated by the unit administrator and the faculty member</strong></td>
</tr>
<tr>
<td></td>
<td><strong>Be forwarded to faculty member 10 days after completing all evaluations in the unit</strong></td>
</tr>
<tr>
<td></td>
<td>The faculty member has seven working days after receiving the evaluation to attach the statement.</td>
</tr>
<tr>
<td></td>
<td>The signature of the faculty member signifies that he or she has read the evaluation, but it does not necessarily indicate concurrence.</td>
</tr>
</tbody>
</table>

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(Don Sexauer, Chair of the Faculty, Pieces of Eight, 1998)
Criteria

**All faculty members are evaluated by unit administrator**

<table>
<thead>
<tr>
<th>Evaluation is based upon current academic year data</th>
<th><strong>Exception:</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Criteria employed is contained in unit code</td>
<td>SSOI data from Spring of previous AY and Fall of current AY</td>
</tr>
</tbody>
</table>

Multiple evaluation methods must be used.
- Methods might be included in unit code or other unit approved guidelines.
- See FM.VIII.I.III.A.1 for further information.

Only use SSOI reports for student evaluations.
- Data should not be condensed or summarized.
- Faculty may select to submit comments received in student evaluations.
- If they chose to do so, they must submit all comments, not just a selection.
- **Be aware of biases, limits of student evaluations**

Adhere to unit's approved Peer Observation Plan for evaluation of teaching.
- You can find your unit's plan [here](#).
- See [here](#) a guide to best practices in Peer Observations.

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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 includes **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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The Personnel Action Dossier (PAD)

“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. Each PAD becomes part of the faculty member’s permanent personnel file and is not returned to the faculty member.”

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

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. Make a back-up copy of the PAD before you submit

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Preparing your 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

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A. Cumulative Report and PASF

B. Recommendations

C. Records of Evaluation

D. Supporting Materials (Subfolders as appropriate)

E. Other Materials

F. Disagreements

**Tell your Story**

**PAD for TENURE AND PROMOTION**
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Folder A: Cumulative Report

Specified format in Part X, Section I of ECU Faculty Manual

“A properly executed ECU Cumulative Report ... is required for ... personnel actions. It is the responsibility of the faculty member to have prima facie evidence of all activity listed in this report available for inspection, if requested, by reviewers at any level of the personnel action process.”

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Cumulative Evaluation

The cumulative evaluation should be in narrative form. The evaluation shall be based on the candidate’s Personnel Action Dossier and shall evaluate their strengths and weaknesses in light of the unit’s established criteria, similar to the evaluations of Progress Toward Tenure conducted annually during the probationary term.

If unit administrator considers disagreeing with TC's recommendations, they must follow procedures specified in FM Part IX.I.IV.i.

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Actions involving tenure and promotion also require a properly executed ECU Personnel Action Summary Form (see Attachment 2).
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Folder B: Recommendations for Reappointment

Memorandum

a. Unit Tenure Committee’s recommendation, signature of the chair of the unit Personnel Committee, and date

b. Unit administrator’s recommendation, signature, and date

c. Dean's recommendation, signature, and date

d. Provost’s recommendation, signature, date

Signatures are included at every step

Candidate is notified at every step

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Folder C: Records of Evaluation

- Criteria for tenure and/or promotion set forth in the Unit Code
- Copies of all written communications with the candidate on progress toward tenure, including PTT Letters and Annual Evaluations over time period
- Records of annual evaluation meetings with unit administrator
- Records of assigned teaching duties and responsibilities, including reassigned time
- Records of annual discussion on criteria for evaluation of faculty performance
- (P &/or T only) Copies of all communication with external reviewers, copies of the external reviews, and a listing of the documents reviewed.

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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.

MANDATORY
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Folder D: Supporting Materials

<table>
<thead>
<tr>
<th>Seek out</th>
<th>examples and ask for advice</th>
</tr>
</thead>
<tbody>
<tr>
<td>Consult</td>
<td>with your Unit Administrator and Chair of Tenure Committee about what to include</td>
</tr>
<tr>
<td>Include</td>
<td>an index, graphic organizer, or other resource that will help reviewers understand what supporting materials are in Folder D overall, how they are organized, and the order in which they should be reviewed.</td>
</tr>
<tr>
<td>Tell</td>
<td>your story as it relates to teaching, research, and service.</td>
</tr>
<tr>
<td>Use</td>
<td>a narrative at the beginning of each section</td>
</tr>
<tr>
<td>Demonstrate</td>
<td>that you have been reflective and purposeful about your teaching, research, and service</td>
</tr>
<tr>
<td>Communicate</td>
<td>your goals and your corresponding actions, and</td>
</tr>
<tr>
<td>Provide</td>
<td>an opportunity to point to and tie together the sections of your PAD.</td>
</tr>
</tbody>
</table>

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Folder D: Teaching Subfolder

Mandatory
- SSOI (Blue) Reports (in full, not summarized)
- Inclusion of student comments at the discretion of the candidate, but all must be included from a given course
- Full reports from peer observation of instruction

Teaching Effectiveness Artifacts
- Teaching Statement (one or two pages; maximum of three)
- Workload
  - List of courses taught, perhaps with a brief description of challenges/ rewards & terms taught
  - Mentoring and advising (theses, dissertations, honors projects, etc.)
- Instructional Materials
  - Course syllabi, assignment, projects, etc.
  - Examples of student work
- Impact
  - Honors, awards, other forms of recognition
  - Unsolicited student feedback
  - Course redesign, curriculum innovations, special projects
  - Grants in support of teaching
  - Publications focused on pedagogy (“if not classified as Scholarship in the candidate’s unit or discipline”)
- Reflection on student feedback
  - Explain any aberrations and steps you have taken to address identified areas for improvement; note difficulty level and response rate if appropriate

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Folder D: Research/Creative Activity Subfolder

- Introduction to your research agenda and reflection on your goals and accomplishments. Discuss the breath and/or depth of your work. What have you done/plan to do?

- Selected example(s) of research and creative activity (reports, articles, photographs of work, link to materials)

- Evidence of quality and impact – citation information, forms of recognition (invited lectures, etc.), quality of publishing venue

- Overview of grant work and impact – letters of awards, letters where no funding but positive content

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Folder D: Service Subfolder

• Philosophy of Service and how you have pursued it; consider connections among teaching, scholarship, and service

• Examples of service accomplishments – professional (national, university, department), community, etc. (Servire Society, leadership, recognition)

• Grants in support of service activities

• Letters, materials, feedback, etc.
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New Policies

**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.](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*. 

UNC Regulations expected in late fall. ECU policy to follow.

**Faculty Retirement and Incentive Program (FRIP)—Funding (16.8 million) included in 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.

UNC Guidelines forthcoming. ECU will implement for this AY.
Policy on Faculty Workload

I. Purpose. Faculty are the core members by which the University of North Carolina (UNC) System fulfills its statutory mission to "disseminate, elevate, transmit, and apply knowledge." Faculty apply advanced training and education towards teaching, research/creative activity, and service in support of the mission of their individual constituent institutions and the broader UNC System mission. The Board of Governors has an obligation to ensure that the constituent institutions are deploying and monitoring faculty workloads in a consistent, efficient, and effective manner across the UNC System.

II. Faculty are critical for advancing the quality and impact of the UNC System and its constituent institutions. Faculty hold primary responsibility for designing and implementing curricula and academic programs, recruiting student success, engaging in research/creative activity, providing service to their disciplines and their communities, and enhancing the quality of life for North Carolinians. Faculty workload policies should acknowledge these areas and recognize faculty members' contributions to each.

III. North Carolina G.S. 116-1(b) specifies that the mission of the UNC System "...is to discover, create, transmit, and apply knowledge to address the needs of individuals and society. This mission is accomplished through instruction, which communicates the knowledge and values and impacts the skills necessary for individuals to lead responsible, productive, and personally satisfying lives; through research, scholarship, and creative activities, which advance knowledge and enhance the educational process; and through public service, which contributes to the solution of societal problems and enriches the quality of life at the State." Faculty workload policies should take into account faculty members' contributions towards the University's mission.

Additionally, the Board has previously established the expectation that teaching "...should be the first consideration of all UNC institutions" in evaluating faculty. As such, teaching responsibilities shall serve as the core requirement and foundation of each constituent institution's faculty workload policy.

IV. The Board of Governors has delegated to the boards of trustees of the constituent institutions the authority to adopt personnel policies for personnel in all categories of university employment, including policies governing academic tenure and promotion. 2

V. Required institutional Faculty Workload Policies.

A. Each UNC System institution shall develop policies and procedures implementing the provisions of this policy. Institutional policies shall be developed by the chancellor and provost, approved by the institutional board of trustees, and then approved by the president. Each constituent institution shall establish, publish, and maintain specific academic and workload requirements that are consistent within the institution and across system institutions.

(From Sexauer, Chair of the Faculty, Pieces of Eight, 1998)
• Faculty Realignment Incentive Pilot Program (Program) for constituent institutions of The University of North Carolina to award severance payments to identified faculty members to provide long-term cost-savings and improved operational efficiencies for The University of North Carolina.

• Funds for the Program shall be distributed among constituent institutions based on criteria established by the President of The University of North Carolina.
Policies to be Presented to BoG this fall

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.

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.

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Policies to be Presented to BoG in Spring

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.

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.

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Framework Document Connections

• **Part XII—Faculty Appellate Provisions**

  • Revisions expected to be presented at November Faculty Senate Meeting

  • New language for types of grievances (Section 602)
    • Non-disciplinary Separation

  • New definition of “Neglect of Duty” as grounds for discharge, suspended without pay, or demoted in rank (Section 603)
    • 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;

  • New guidance about what is defined as a General Grievance (Section 607)
    • Grievances must be based upon a decision made by an administrator in a supervisory role over the faculty member;
    • The grievance must allege that the decision was in violation of federal or state law, or UNC Policy or Regulation, or constituent institution policy or regulation; and
    • That the faculty member was negatively affected by such decision.

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Questions?