

# ACAD The ECU Office for Faculty Excellence and ECU Faculty Senate

### Fall 2024

Updates about Personnel Actions for Promotion, Tenure, and Advancement

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

## **Overview**

- Key Documents
- Key People
- Faculty Employment & Evaluation
- Annual Evaluation
- Progress Toward Tenure Letters
- The Personnel Action Dossier (PAD)
- Support
- Questions





### **Key Documents**

### When there are inconsistencies between these documents, UNC policy manual and Code supersedes all

#### campus documents.

### **UNC Policy Manual and Code**

#### UNC Policy Manual and Code

Home | UNC Policy Manual and Code

#### UNC POLICY MANUAL AND CODE



#### 101.3 - Appellate Review

- 101.3.1 Policy on Regulations and Guidelines Implementing Chapter VI of The Code 🗋 🔒 101.3.1.1[R] - Regulation on Disciplinary Discharge, Suspension, or Demotion Under Section 603 of The Code 🗋 💩 101.3.1.2[R] - Regulation on Non-Reappointment, Denial of Tenure, and Denial of Promotion Under Section 604 of The Code 🕅 🖨 101.3.1.3[R] - Regulation on Grievances Filed Pursuant to Section 607 of The Code 🖉 🔒 Chapter 200 - Board of Governors Affairs 200.1 - Dual Memberships and Conflicts of Interest 🖾 🗟 200.2 - Election Procedures 🕅 🖓
- 200.3 Policy on the Selection of the President of the University of North Carolina System 🖪 🖪 200.4 - Assessment Process for the Chief Executive and Governing Boards of the University of North Carolina 🗋 🖪 200.4.1 [G] - Guidance for Presidential Assessment Committee of the Board of Governors 🛽 🖨 200.4.2[G] - Guidance for Fourth Year Comprehensive Performance Review of the Chancellor 🚨 200.5 - Policy on Legal Affairs; Initiating and Settling Potential and Pending Litigation 🖪 🐱
- 200 FID) Degulation on Engagement of Private Councel and Designation of Lititation Counce

#### 300.5 - Political Activities of Employees

300.5.1 - Political Activities of Employees 🖪 🛃 300.5.2 - Candidacy for Elective Office; Officeholding (Elective and Appointive Public Office) 🖪 🔒 300.7 - Retirement



#### **Faculty Manual**

#### Revised 10-07-2024

East Carolina University Faculty Manual

Every effort has been made to ensure the accuracy and completeness of the online ECU Faculty Manual. Please call the Faculty Senate office at 252.328.6537 if you find errors or need assistance.

Complete ECU Faculty Manual \* Index of ECU Faculty Manual \* List of Interpretations 2011-present / 1990-2010

#### Part I Introduction

- Part II East Carolina University Organization and Shared Governance University Organization and Vision, Mission Statement, and Strategic Directions of ECU
  - Faculty Constitution and By-Laws Revised 11-23
  - Academic Policy, Administrative Policy, and Vetting of Administrative PRRs in Matters Relating to Faculty III. Revised 12,17
  - IV. Graduate School Organization Revised 07-24
  - Faculty Involvement in Selection and Evaluation of Administrators

#### Part III UNC System and UNC Code

UNC Policy Manual and the UNC Code (UNC Board of Governors) The Faculty Assembly of the University of North Carolina East Carolina University Faculty Assembly Delegation III.

#### Part IV Academic Units, Codes, and Seven Year Program Evaluation

- Academic Code Units Revised 1-24 Unit Codes Revised 9-24
  - III. Seven Year Unit Program Evaluation Revised 2-21

#### Part V Academic Freedom, Professional Ethics, Diversity, Equity and Inclusion

- Academic Freedom
- Statement on Professional Ethics Revised 10-23 III.
- Statement on Diversity, Equity and Inclusion Added 4-21

#### Part VI Teaching and Curriculum Regulations, Procedures, and Academic Program Development

- Teaching Regulations and Guidelines Relating to Faculty Revised 7-23 Summary of Academic Integrity Violation (AIV) Regulations and Procedures at East Carolina University
  - Revised 8-24
- 111 Distance Education Policies Revised 5-23
- IV Student Privacy, Conduct, and Complaints Revised 5-16
- V. Graduation Policies Revised 12-21
- VI. Emergency Notification and Evacuation Procedures
- Curriculum Procedures, Academic Program Development, and the Academic Calendar Revised 7-24 VII.

#### Part VII Faculty Research and Scholarship

- Faculty Research, Creative Activity, Scholarship, Innovation, Engagement, and Outreach
- Scholarship/Research/Creative Activity Guidelines Revised 5-15
- Ethics and Conduct in Research, Creative Activity, and Scholarship III.

#### Part VIII Personnel Policies and Procedures for Faculty

- Personnel Policies and Procedures for the Faculty of East Carolina University Revised 09-24 Policy of Conflicts of Interest and Commitment and External Activities of Faculty and Other Professional Staff
- Revised 7.19

#### "Shared governance in an academic setting is a fragile balancing act that takes place between the administration of the university and its faculty. It is the attempt by the administration and the faculty to solve problems and implement policies in a manner that benefits all the constituencies of the university."

#### Unit Code of Operations

#### Academic Unit Codes of Operation

- Guidelines for Writing and Revising a Unit Code of Operation (PDF)
- Guidelines for Organizing into Code Units (PDF
- Academic Unit Standards for Performance Review of Tenured Faculty (PDF)
- Changes that Impact Unit Codes

#### NOTICE

The UNC Board of Governors and UNC System President have recently promulgated a variety of updates to UNC System policies, regulations, and guidelines ("UNC policies"). In the event of a conflict between an ECU academic unit code of operation (or associated guidelines) and UNC policies, UNC policies shall control. Unit codes should stay on the same cycle of 5-year reviews. For questions or inquiries, please contact Dr. Anne Ticknor Chair of the Faculty.

		Search:
Colleges/Schools/Units	Code	PTR Standards
Academic Library Services	Academic Library Services Unit Code 03-15- 2021 (PDF)	Academic Library Services PTR Standards 01-23- 2018 (PDF)
Allied Health Sciences	Allied Health Sciences Unit Code 06-14-2022 (provisional) (PDF)	
Addictions and Rehabilitation Studies		Addictions and Rehabilitation Studies PTR Standards 01-22-2018 (PDF)
Clinical Laboratory Science		Clinical Laboratory Science PTR Standards 05-02- 2013 (PDF)
Communication Sciences and Disorders		Communication Sciences and Disorders PTR Standards 05-02-2013 (PDF)
Health Services and Information Management		Health Services and Information Management PT Standards 07-26-2013 (PDF)
Nutrition Science		Nutrition Science PTR Standards 09-30-2015 (PDI
Occupational Therapy		Occupational Therapy PTR Standards 05-02-2013 (PDF)
Physical Therapy		Physical Therapy PTR Standards 05-02-2013 (PDF
Physician Assistant Studies		
Arts and Sciences		
Anthropology	Anthropology Unit Code 12-13-2018 (PDF)	Anthropology PTR Standards 01-23-2018 (PDF)
Biology	Biology Unit Code 06-21-2017 (PDF)	Biology PTR Standards 01-23-2018 (PDF)
Chemistry	Chemistry Unit Code 12-07-2020 (PDF)	Chemistry PTR Standards 10-20-2020 (PDF)
Criminal Justice and Criminology	Criminal Justice and Criminology Unit Code 05-09-2024 (PDF)	Criminal Justice and Criminology PTR Standards 02-28-2023 (PDF)

## **Key Sections of the Faculty Manual**

### Part VIII: Personnel Policies and Procedures for Faculty

Section I: Personnel Policies & Procedures for the Faculty of East Carolina University\*

#### Part IX: Appointment, Tenure, Promotion, & Advancement Policies and Procedures & Performance Review of Tenured Faculty

- Section I: Appointment, Tenure, Promotion, & Advancement Policies and Procedures\*
- Section II: Performance Review of Tenured Faculty\*

### Part X: Personnel Action Dossier and Tenure and Promotion Schedule

- Section I: Personnel Action Dossier\*
- Section I: Personnel Action Dossier--Revised to add Advancement in Title\*
- Section II: Documentation and Schedule for Personnel Actions\*
- **Guidelines for Preparing a Cumulative Evaluation**

### Part XII: Faculty Appellate Provisions

- Section I: General Appellate Procedures\*
- Sections II-VII: Grievance Procedures\*





## **Key People**

The Unit Administrator (Chair)

The Chair of Personnel Committee

Personnel Committees: Personnel, Promotion, & Tenure

Mentors (within unit & outside)

Unit Senator(s)

## **Faculty Employment**

### **Tenure Track Faculty**

### Reappointment, Tenure, and Promotion in rank

- Responsibilities in all areas:
  - Teaching <u>and</u>
  - Research and
  - Service <u>and</u>
  - Patient Care and Related Clinical Responsibilities (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



# **ECU Faculty Senate**

## **Part VIII: Annual Evaluation**

- The annual evaluation shall be a review of the faculty member's previous work plan if one is required. The annual evaluation shall include ratings and summarize the faculty member's performance in each category of responsibility as "exceeds expectations," "meets expectations," or "does not meet expectations," and shall conclude with an overall rating.
  - Full-time (1.0 FTE) faculty members who are appointed for longer than one year including those serving in administrative roles, will develop an **annual work plan** for the coming academic year in collaboration with their unit administrator. For purposes of this process, the unit administrator is the department chair or director.
- This 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.



## **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 <u>14 days</u> of the meeting

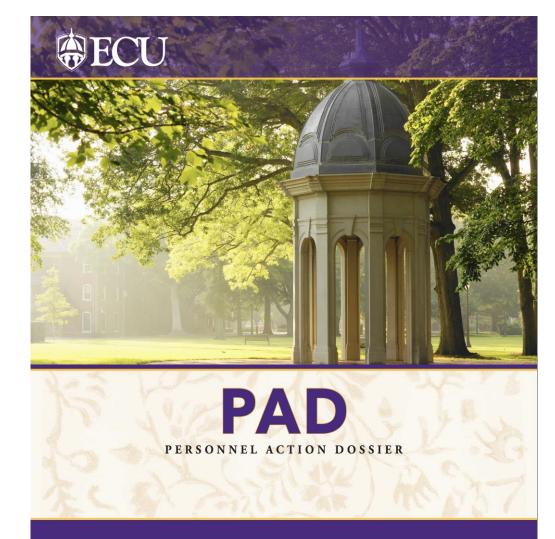


### **Progress Toward Tenure Letters**

Action	9 Month Faculty	12 Month Faculty	Time allotted for Decision
Unit administrator provides the Tenure Committee with the candidate's current annual report, copies of the candidate's previous and current workplans and annual evaluations, success plans if any, and previous progress toward tenure letters, and a draft of the new Progress Toward Tenure letter written by the unit administrator.	3 <sup>rd</sup> Friday in April	1 <sup>st</sup> Tuesday in June	
Tenure Committee meets with the unit administrator to review the cumulative record of a candidate's progress and finalize the Progress Toward Tenure letter.	4 <sup>th</sup> Friday in April	2 <sup>nd</sup> Tuesday in June	1 week
Delivery of PTT letter and meeting that includes the faculty member, representative of the Tenure Committee and unit administrator to discuss the letter, with subsequent delivery of PTT letter to Dean.	May 7 <sup>th</sup>	June 23 <sup>rd</sup>	
Letter sent to higher administration	May 15 <sup>th</sup>	June 30 <sup>th</sup>	



## **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."

Part X, Section I of the ECU Faculty Manual



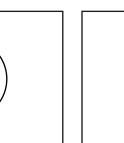
## **Preparing your PAD: General Recommendations**

3

ECU has moved to Faculty 180 Reviews for Fall 2023!



Maintain an updated Faculty 180 profile



evidence (refer to

format)

**Cumulative Report** 

Collect and organize Store PAD materials electronically



Be prepared to submit the PAD electronically





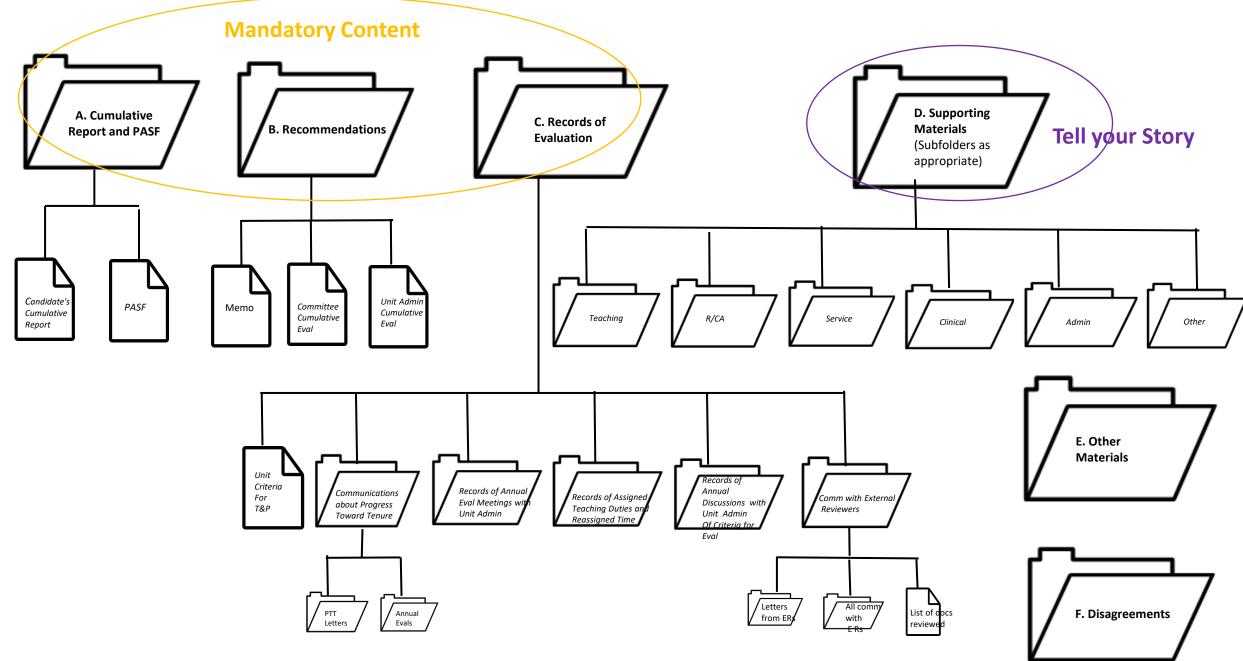
## **Preparing the PAD**

"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 ..." <u>Part X, Section I of the ECU Faculty Manual</u>

"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





PAD for TENURE AND PROMOTION

## **Cumulative Report**

B. Cumulative Report for Reappointment, Promotion, and Tenure Link to Guidelines for Preparing a Cumulative Evaluation.

A properly executed *ECU Cumulative Report for Reappointment, Promotion and Tenure* is required for these 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.

- A. General Information
  - 1. Name
  - 2. College or Professional School and Department
  - 3. Date of first appointment to ECU
  - 4. Present rank and date at which present rank was established
  - Educational background: degrees, dates conferred, and institutions. Indicate the status of any degree program in process.

Include the following where applicable:

- a. Postgraduate Training Fellowships
- b. Residencies
- c. Traineeships
- 6. Administrative appointments or special assignments (list positions and dates in reverse chronological order with percentage of time assigned)



## Reappointment of Probationary Faculty

The faculty candidate will be notified of the recommendation or decision, as appropriate, in writing within one week at each decision point.

Action	9 Month Faculty Deadline	12 Month Faculty Deadline	Time Allotted for Decision
Unit administrator informs committee of upcoming need for meeting	2 <sup>nd</sup> Tuesdav in Januarv	3 <sup>rd</sup> Tuesday in February	
Faculty member meets with unit administrator to verity that all required documents are in PAD (optional but recommended)	2 <sup>nd</sup> Tuesday in January	3 <sup>rd</sup> Tuesday in February	3 weeks
PAD due to Tenure Committee for reappointment decision	3 <sup>rd</sup> Tuesday in January	4 <sup>th</sup> Tuesday in February	3 weeks
Committee recommendation to unit administrator	2 <sup>nd</sup> Tuesday in February	3 <sup>rd</sup> Tuesday in March	3 weeks
Unit administrator recommendation to Dean (if applicable)	1 <sup>st</sup> Tuesday in March	2 <sup>nd</sup> Tuesday in April	3 weeks
Dean recommendation to Provost	Last Tuesday in March	1 <sup>st</sup> Tuesday in May	3 weeks
Provost decision	Last Tuesday in April	1 <sup>st</sup> Tuesday in June	4 weeks

### Part X Personnel Action Dossier and Tenure and Promotion Schedule

The faculty candidate will be notified of the recommendation or decision, as appropriate, in writing within one week at each decision point.

Action	9 and 12 Month Faculty	Time Allotted for	writing within one week at each decision point.					
	Deadline	Decision	Action	9 and 12 Month Faculty Deadline	Time Allotted for Decision			
Faculty member makes a request to the unit administrator 1st Frid	1¤ Friday in February		Unit administrator informs committee of upcoming need for a meeting	1ª Tuesday in September		Provost decision/PAD to		
to begin the process of consideration for promotion or	T Thuy in Foordary	1	External reviewers' reports due	1ª Tuesday in September		Chancellor	1ª Tuesday in March	4 weeks
early conferral of permanent tenure			Faculty member meets with unit administrator	1 <sup>st</sup> Tuesday in September		Chancellor decision	3 <sup>rd</sup> Tuesday in March	2 weeks
Faculty member submits a list of potential external reviewers to the tenure committee.	3ª Friday in February		to verify that all required documents are in PAD (optional but recommended)			BOT decision (Tenure Only)	Spring BOT meeting	Date varies each year
Tenure Committee submits of a list of external reviewers to the unit administrator and selects	4 <sup>®</sup> Friday in March		Faculty member turns in PAD to unit administrator	2 <sup>nd</sup> Tuesday in September				
materials to be sent to reviewers	<u>ا</u>	<b></b>	Unit administrator makes the PAD	2 <sup>nd</sup> Friday in September				
Unit administrator sends letter and materials to confirmed	Last Friday in April	4 weeks	available to committee					
external reviewers		<u>.</u>	Committee recommendation/PAD to unit administrator	4 <sup>th</sup> Tuesday in October	6 weeks			
			Unit administrator recommendation and PAD to Dean (note: Brody School of Medicine P&T Committee reviews & makes recommendation to BSOM Dean)	1ª Tuesday in December	5 weeks			
			Dean recommendation/PAD to Provost	1s Tuesday in February	6 weeks			

## **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:

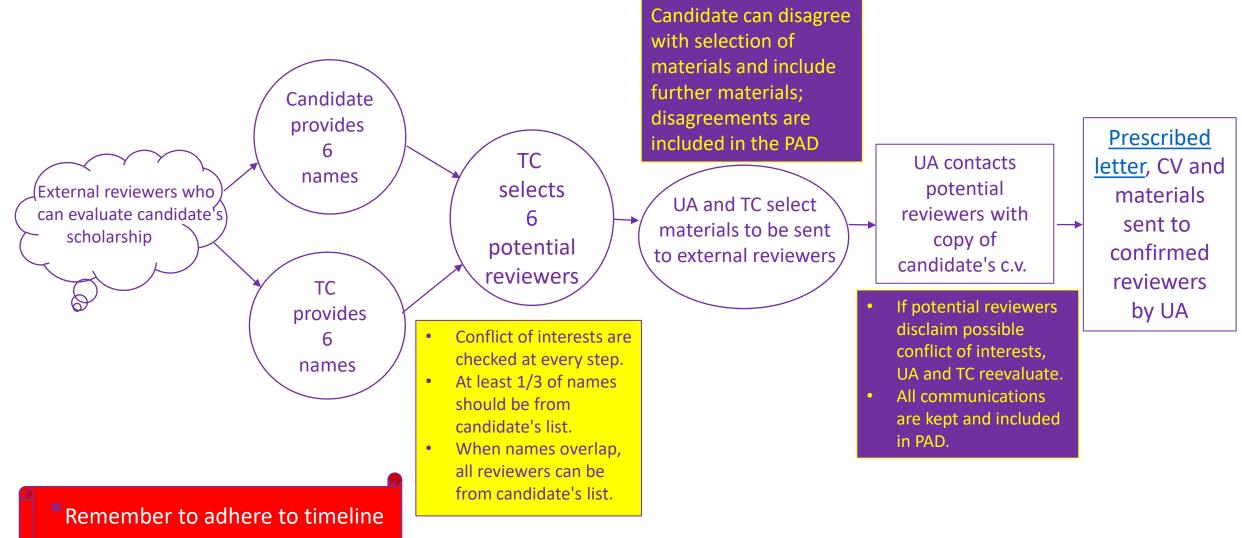
- The list of potential external reviewers is exhausted before required number of external reviewers agree to review.
- Less than required number of confirmed reviewers submit their evaluation on time.
- More than required number reviewers submit their evaluation.



"Shared governance in an academic setting is a fragile balancing act that takes place between the administration of the university and its faculty. It is the attempt by the administration and the faculty to solve problems and implement policies in a manner that benefits all the constituencies of the university."

MANDATORY

## **External Reviews: The Process\***



in <u>FM Part X.II</u>



# The Support: The ECU Office for Faculty Excellence

Office for	Upcoming	Teaching	Faculty	Research and	Faculty	About	
Faculty Excellence	Sessions	Resources	Life	Statistics	Awards	Us	



Faculty at East Carolina University help fulfill the <u>ECU Mission</u> through a rich range of expertise and a variety of roles and responsibilities. The resources on this page are intended to be helpful for faculty as they advance in their professional careers.

**Reappointment, Tenure and Promotion Workshop Series** 



Tenured and Probationary Term (Tenure-Track) Faculty Ranks Resources for Preparing Your PAD (Personnel Action Dossier) Other Resources

https://ofe.ecu.edu/



## Faculty 180

 Faculty180
 Scholars@ECU Faculty Profile
 College Coordinators
 Stering Committee
 Resources
 FAQ

### Faculty180: Faculty Reporting System

Faculty180 is a tool for reporting activities of faculty, departments, colleges and the university as a whole. It will facilitate tenure and promotion and annual performance review processes. System capabilities include:

- · Importing faculty publication records from various bibliographic sources such as SCOPUS or PubMed
- Assisting departments in standardizing information such as journal titles, for example, and eliminating redundancies
- · Facilitating management of data at various levels-individual, department, school, college and university
- Providing customized CV templates and reports
- Managing review processes electronically

#### Review Processes Scheduled for Faculty180 Reviews

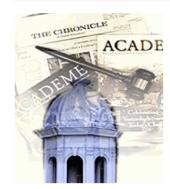






### **ECU Faculty Senate**

### Please join us for the <u>October 1 Faculty Senate meeting</u>, via livestream. See the <u>October 1st</u> agenda (PDF) for details.



ECU maintains a strong, long-standing shared governance structure. The Faculty Senate has been the legislative, advisory and primary faculty governance body for faculty representation at ECU for over 50 years. This body provides the means by which faculty are able to fulfill their responsibilities with respect to academic and educational policies of ECU.

Please feel free to stop by the Faculty Senate office, located at 140 Rawl Annex anytime and/or contact an elected <u>Faculty Officer</u> with any questions or concerns that you may have.

The Faculty Senate represents all faculty of East Carolina University. It is comprised of faculty members elected by the general faculty and UNC Faculty Assembly Delegates and senior administrators who serve as ex-officio members with vote. The functions, duties, and privileges of the faculty and the Faculty Senate are detailed in the <u>ECU Faculty</u> <u>Constitution (PDF)</u>, which is contained in the <u>Faculty Manual (PDF)</u>, and exercised under the authority of the University Chancellor.

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

#### **Faculty Senate Resources**

- Faculty Manual (PDF)
- Academic Unit Codes of Operation
- Frequently Asked Questions
- Faculty Senate roster
- Faculty Marshals
- Parliamentarian links
- Faculty Counselors
- University Ombuds

#### Index of Resolutions

- 1977-2010 Index of Resolutions (PDF)
- 2011-2017 Index of Resolutions (PDF)
- 2018-2021 Index of Resolutions (PDF)
- 2022-present Index of Resolutions (PDF)

### Full Text of Resolutions

- 1990-2010 Full Text of Resolutions (PDF)
- 2011-2017 Full Text of Resolutions (PDF)
- 2018-2021 Full Text of Resolutions (PDF)
- 2022-present Full Text of Resolutions
   (PDF)



### Rachel Baker bakerr@ecu.edu

We acknowledge the Tuscarora people, who are the traditional custodians of the land on which we work and live, and recognize their continuing connection to the land, water, and air that Greenville consumes. We pay respect to the eight state-recognized tribes of North Carolina; Coharie, Eastern Band of Cherokee, Haliwa-Saponi, Lumbee, Meherrin, Occaneechi Band of Saponi, Sappony, and Waccamaw-Siouan, all Nations, and their elders past, present, and emerging.



## **ECU Faculty Senate**



### **Faculty Officers**



Anne Ticknor Chair of the Faculty Professor College of Education <u>ticknora@ecu.edu</u>



Mark Bowler Vice Chair of the Faculty Associate Professor Department of Psychology bowlerm@ecu.edu



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