The ECU Office for Faculty Excellence and ECU Faculty Senate

Spring 2024

Updates about Personnel Actions for Reappointment, Promotion, and Tenure

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

(Don Sexauer, Chair of the Faculty, Pieces of Eight, 1998)
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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(D. S. Chiefh F. Horth 1998)
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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
  o Appointment, Tenure, Promotion, and Advancement Policies and Procedures*
  o Performance Review of Tenured Faculty*

Part X, Section I – Personnel Action Dossier*

Part X, Section II
  o Tenure and Promotion Schedule*
  o 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*
## Key People

<table>
<thead>
<tr>
<th>Role</th>
<th>Description</th>
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<tbody>
<tr>
<td>The Unit Administrator (Chair)</td>
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<tr>
<td>The Chair of Personnel Committee</td>
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<td>Personnel Committees: Personnel, Promotion, &amp; Tenure</td>
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<td>Unit Senator(s)</td>
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<td>Mentors</td>
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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 180 for Electronic Personnel Actions

Used for Annual Reviews, Reappointments, and Tenure & Promotion
Annual Evaluation

• Done using Faculty 180. Deadline for submission usually given by unit administrator. Timing dependent on 9 or 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
  o be in writing;
  o 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;
  o 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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Annual Evaluation

• Changing due to revisions to 400.3.4 - Policy on Faculty Workload & 400.3.4[R] - Regulation on Faculty Workload
  • 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.

• Faculty Success Plan.
  • For faculty members who do not meet expectations as outlined in their annual faculty work plan, documentation in the form of a Faculty Success Plan will be included as a part of their annual evaluation. This Faculty Success Plan will be created by the unit administrator in collaboration with the faculty member and will:
    • be in writing;
    • include specific steps designed to lead to improvement;
    • include a specific timeline in which improvement is expected to occur;
    • a clear statement of consequences if steps are not met within specified timeline;
    • peer mentoring is encouraged as part of the faculty success plan;
    • progress meetings with the department chair/academic unit head shall occur on at least a semi-annual basis during the specified timeline.
  • If a faculty member does not agree to the implementation of a faculty success plan, they may appeal in accordance with the provisions of the grievance procedure of Part XII, Section I, as appropriate.

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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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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

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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. Back-up, BACK UP!!!
Preventing 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

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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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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

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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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**Folders E and F**

**Tab E – Other Material**
- Information not related to this specific position that you believe is important to your achievement
- This section may have nothing in it.

**Tab F – Disagreements**
This section may have nothing in it.
External Reviews (Tenure/Promotion only)

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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Our Institutional Peers

Ball State University
Central Michigan University
Florida Atlantic University
Illinois State University
Kent State University at Kent
Northern Arizona University
Ohio University-Main Campus
University of Nevada-Las Vegas
Utah State University
Washington State University
Western Michigan University
External Reviews: The Process*

**Candidate can disagree with selection of materials and include further materials; disagreements are included in the PAD.**

- Candidate provides 6 names
- TC selects 6 potential reviewers
- TC provides 6 names
- UA and TC select materials to be sent to external reviewers
- UA contacts potential reviewers with copy of candidate's c.v.

- Candidate can provide further materials; disagreements are included in the PAD.
- External reviewers who can evaluate candidate's scholarship
- External reviewers who can evaluate candidate's scholarship
- UA contacts potential reviewers with copy of candidate's c.v.

- If potential reviewers disclaim possible conflict of interests, UA and TC reevaluate.
- All communications are kept and included in PAD.

*Remember to adhere to timeline in FM Part X.11*

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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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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 Exigency or Program Curtailment as provided in Section 605, a grievance as provided in Section 627, or any other lesser employment action that is not a formal discharge, suspension, or demotion.
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Questions?