

3-24-98



March 15, 1998

Dear Colleague:

The Faculty Senate at its March 24, 1998, meeting will consider a document that responds to the General Administration's mandate requiring five year reviews of permanently tenured faculty. The Faculty Governance Committee has provided the Senate with a draft that is quite valuable and useful. I, for one, appreciate very much their effort and time. With their draft, we can see more clearly the path to take. What follows are suggestions designed to accomplish that journey.

Hortatory comments have been removed. In grievance cases over the last decade or so, such comments have been dismissed by attorneys as unenforceable owing to their vagueness. While such comments agree with our views, the removal of them leaves only a clear policy and procedures.

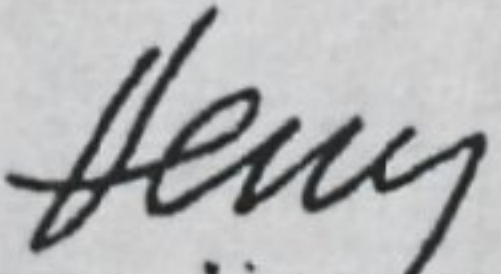
As authority claims this is not a review for the continuation of permanent tenure, the proposed machinery for the review has been greatly reduced. The role of the faculty is made more simple and direct by using an existing committee defined in the University approved academic unit codes. The administrator is left to administer. The selection of faculty for development plans is also simplified. The individual faculty member's confidentiality is secured. The appeals process is also simplified and made more direct. In each instance existing documents and committees are incorporated or are available for use.

The annual reports and reviews compose the basis for every cumulative review. I know of no other university in the UNC system that spends the time and resources for such annual reviews. No review could be anymore detailed and comprehensive. I believe the source for the mandate for cumulative review comes from the lack of little or none at other universities. A full description of our annual process will provide sufficient argument at the GA level for the proposed use of the reports and reviews. The proposed amendments also follow GA guidelines.

A simple system for deciding rewards is included. No additional barriers are suddenly put forward at the end of the fifth year. The reward is simple also: increased compensation.

The intention is to keep the cumulative review policy clean and short, to reduce the possibility for conflict between chair and the tenured faculty, and to be even handed in each instance. Opportunity for faculty disagreements is also considerably reduced. If the committee draft is amended as proposed, faculty persons shall know exactly where they stand. If dissatisfied with that definition, they may then appeal specifics.

Thank you for your consideration.

  
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East Carolina University Policy for the Cumulative Review of  
Permanently Tenured Faculty ~~meets the guidelines of the University of  
Carolina University's Faculty Manual and the Code of the University.~~

~~This policy does not create a process for the reevaluation or revalidation of  
tenured status. The basic standard for appraisal and evaluation is whether the  
faculty member under review discharges conscientiously and with professional  
competence the duties associated with his or her position. Furthermore, the policy is  
created with the widespread presumption of competence on the part of each tenured  
faculty member. The cumulative review for a faculty member must reflect the  
nature of the individual's field or work and must conform to fair and reasonable  
expectations as recognized by faculty peers in each department and discipline. The  
review must be conducted in a manner free of arbitrary, capricious, or  
discriminatory elements and must follow these agreed upon  
procedures.~~

#### ~~Description of Policy~~

~~Timing. At the conclusion of five-year intervals of employment, beginning with the  
academic year 1998-1999, each permanently tenured faculty member shall have a  
review of all aspects of his or her the professional performance of each permanently  
tenured full time faculty member shall be reviewed. during the interval. Faculty  
members who have received A review undertaken to decide on promotion qualifies  
as a cumulative review. A faculty member granted permanent tenure shall be  
reviewed within five years of the granting of tenure. Probationary term faculty  
members are excluded because other review mechanisms exist to evaluate their  
performance. Academic unit \* administrators, deans, and administrators at the  
division or university level who hold permanent tenure shall be are excluded from  
this policy. After returning to full-time teaching/research responsibilities,  
administrators each person shall be evaluated in at the conclusion of their fifth year  
and following five-year intervals. Permanently tenured full time faculty members  
who have received University approved leaves of absence shall not have such leave  
time counted as part of the cumulative review.~~

The annual report and annual evaluation of each permanently tenured full time  
faculty member shall provide the basis for each cumulative review of the faculty  
member. The standards for each annual review and report are found in the  
University approved academic unit code of each faculty member so reviewed.  
Written agreements between the faculty member and the academic unit code  
administrator and amendments to the University approved academic unit code  
made during the five-year interval shall be included in the review. Such written  
agreements and amendments made in the academic unit code to conform to  
changing goals of the academic unit and the university shall not be made retroactive  
to the beginning of the review interval. The review shall reflect the provisions of



Appendix C, Section I, C and D of the ECU Faculty Manual.

[ Insert here a description of the annual report, with the appropriate form as an appendix. Insert here a description of the annual faculty review, with the appropriate form as an appendix. Cite a permanent location for the approved individual academic unit codes.]

Should a subsequent academic unit administrator disagree with the annual reviews and annual reports of an individual faculty member composed before the term of office of the incumbent administrator, the administrator shall not dismiss, alter, or argue against the body and conclusions of the earlier annual reviews and reports.

~~Each academic unit shall decide whether all of its tenured faculty will be according to a serial plan. Those units choosing a serial plan shall also determine the method of serialization.~~

~~Performance Standards for the Review.~~

~~For the cumulative review of performance for the five year period, the unit's Tenure Committee shall draft standards of "exemplary," "satisfactory," and "deficient" performance, taking into account the provisions of Appendix C, Section I, C and D of the ECU Faculty Manual, the unit's code provisions, and the primacy of teaching/advising within the UNC system institutions. These standards should be consistent with changing goals of the unit and the university while also considering varying expectations at the time of the granting of permanent tenure for individual faculty members.~~

~~The Tenure Committee shall submit the proposed standards to the unit administrator for concurrence or nonconcurrence. At that point, two possible actions may occur. (1) If the unit administrator concurs, he or she shall forward the standards to the next higher administrator. If the next higher administrator does not agree with the standards developed by the Tenure Committee and concurred with by the unit administrator, every effort (including discussion and negotiation) shall be made to resolve the differences. If the effort fails, the matter shall be referred to the next higher administrator who may accept the standards or return them for revision. (2) When the unit administrator and Tenure Committee disagree, every effort (including discussion and negotiation) shall be made to resolve the differences within the unit. If the effort fails, the matter shall be referred to the next higher administrator who may accept the standards or return them for revision. In either case, any amendment to these standards must be approved by a vote of at least 2/3 of the Tenure Committee and follow the same process for initially proposed standards.~~

~~Cumulative Review Committee (CRC). The Tenure Committee will elect three members and one alternate from the permanently tenured faculty to serve on the cumulative Review Committee. The alternate shall serve when a member is unable to serve or is deemed by the Tenure Committee to have a conflict of interest.~~



~~Reconsideration. A faculty member whose review process determines a deficient performance level shall have the opportunity to respond within 20 calendar days. The faculty member may request that the unit administrator and Cumulative Review Committee reconsider the evaluation based on additional substantive information provided by the faculty member. In reconsidering the evaluation, the unit administrator and Cumulative Review Committee shall have the opportunity to nullify, modify, or reconfirm the original evaluation.~~

~~If, upon reconsideration, the unit administrator and Cumulative Review Committee disagree, every effort (including discussion and negotiation) shall be made to resolve the differences within the unit. If the effort fails, the matter shall be referred to the next higher administrator for final decision.~~

~~The unit administrator shall report the decision in writing to the faculty member and place a copy of the report in the faculty member's personnel file.~~

The chair of the academic unit shall review the past five annual evaluations and annual reports of permanently tenured full time faculty members in the academic unit. The chair shall then submit to the academic unit tenure committee a list of those permanently tenured full time faculty members, who, within the past five years in residence, have been promoted, and/or who have received University awards for teaching, and/or research, and/or service. The academic unit chair shall submit a second list composed of those permanently tenured full time faculty members who have received at least an average ranking for their academic unit on their annual reports for each of the previous five years.

Unless a majority of three fifths of the academic unit tenure committee members shall vote otherwise, the individual faculty members on each list shall be deemed at least satisfactory in their professional performance. The academic unit tenure committee shall elect as many as 10 percent of these persons as outstanding faculty members. These recipients shall be awarded at least a 1 per cent merit raise by the University from funds outside the academic unit, as such funds are available.

The remaining permanently tenured full time faculty members in the academic unit shall be interviewed by the academic unit chair. Following the interview, for those faculty members the academic unit chair deems appropriate and with the approval of the next higher administrator, a faculty development plan shall be composed by the academic unit administrator. The written plan shall be presented to the individual faculty member. Should the individual faculty member disagree with part or the whole of the plan, the member shall appeal to the academic unit tenure committee within twenty working days. If the tenure committee agrees by a majority vote, in whole or in part, with the faculty member, the faculty development plan shall be so altered. If the tenure committee agrees with the academic unit chair, the individual faculty member may appeal the decision in keeping with University policies.



~~The alternate shall serve when a member is unable to serve or is deemed by the Tenure Committee to have a conflict of interest.~~

~~When a unit is unable to elect three permanently tenured voting faculty members not holding administrative status, the next higher administrator above the unit level shall appoint permanently tenured faculty from other units to increase the committee's membership to three members and one alternate. These appointments to the committee must be from one list of candidates selected by a vote of the permanently tenured and probationary term faculty of the unit. The list forwarded to the next higher administrator by the appropriate faculty will contain at least twice the number of faculty members required to complete the membership of the committee. Before voting on the list to be forwarded to the next higher administrator, the voting faculty will ascertain that faculty members nominated to have their names placed on the list are willing and able to serve in this important capacity. The list of faculty names recommended to the next higher administrator may not be returned for revision.~~

#### Review Process.

~~Cumulative Review of Permanently Tenured full time Faculty shall cover all aspects of the faculty member's professional performance and be based on the faculty member's five most recent annual reports and five most recent annual performance evaluations (ECU Faculty Manual, Appendix C, Section III. Evaluations) while in residence. for the cumulative review period. The review shall take into account the faculty member's contribution for the period to the mission of the unit, the school or college, and the university.~~

~~The initial review shall be conducted by the unit administrator who, using the attached Form A or Form B, shall prepare a summary report which categorizes each faculty member's performance as exemplary, satisfactory, or deficient. The report, together with the annual reports and annual performance evaluations, shall be reviewed by the Cumulative Review Committee. For each faculty member, the Cumulative Review Committee shall either agree or disagree with the findings of the unit administrator.~~

~~When the unit administrator and the cumulative review committee agree, the unit administrator shall report the results of the cumulative review in writing to the faculty member and place a copy of the written evaluation in the faculty member's personnel file. Faculty whose cumulative review reflects exemplary performance shall be recognized and rewarded.~~

~~When the unit administrator and Cumulative Review Committee disagree, every effort (including discussion and negotiation) will be made to resolve the differences within the unit. If the effort to resolve differences fails, the matter will be referred to the next higher administrator for final decision.~~



No faculty member who is a member of the tenure committee and shall appeal part or the whole faculty development plan shall be recused from the academic unit tenure committee during consideration of such an appeal.

~~Faculty Development Plan. A faculty member whose cumulative review reflects deficient performance shall negotiate a formal development plan with the Cumulative Review Committee and the unit administrator. The faculty development plan must~~ shall identify specific strengths, and weaknesses deficiencies and also define specific goals or outcomes that would help the faculty member overcome lead to the correction of the identified weaknesses deficiencies. It should also shall outline activities, set establish guidelines, and indicate approved criteria by which the progress of the individual faculty member could shall be monitored. monitor his or her progress, and identify the source of any Institutional commitments, if required, shall be included in the development plan. The development plan shall set reasonable time limits, not to exceed three academic years from the date of the implementation of the plan. The plan shall represent a commitment by the faculty member, the Cumulative Review Committee, and the academic unit administrator to improve the faculty member's performance and provide adequate resources to for support of the plan. The plan shall be consistent with the individual faculty member's academic freedom (as defined by the ECU Faculty Manual, Part III), shall be self-directed by the faculty member, and shall be sufficiently flexible to allow for subsequent alteration amendment, if necessary. Such amendment will follow the same process as the development of the original plan. If the unit administrator, Cumulative Review Committee, and faculty member cannot agree on a formal development plan, a draft of the plan, with objections from any of the parties, will be forwarded to the next higher administrator, who will make the final decision. The individual faculty member's development progress shall be reviewed annually by the Cumulative Review Committee and the academic unit administrator, who shall provide a written evaluation of progress to the faculty member. If the individual faculty member disagrees with any amendments or evaluations, the faculty member may appeal the decision in keeping with University policies. The data from which the above decisions are made shall be included in the personnel file of the individual faculty member. These items include, but are not limited to, committee minutes, votes, summaries of interviews, and appeals.

#### Subsequent Evaluation.

If the faculty member's cumulative performance level is satisfactory within the designated period of time, the academic unit administrator shall report the results of the cumulative review in writing to the faculty member and place a copy of the written evaluation in the faculty member's personnel file. The faculty member will undergo another cumulative review at the beginning of the next cumulative review interval. If the faculty member's cumulative performance level remains deficient after the designated period, the academic unit administrator may recommend that serious sanctions be imposed as governed by Appendix



D, Section VI, "Due Process Before Discharge or Imposition of Serious Sanction," of the ~~ECU~~ East Carolina University Faculty Manual and the Code of the Board of Governors of the University of North Carolina.

\*With respect to personnel matters relating to Cumulative Review, academic academic units are defined as departments described in the codes of operation of professional schools, the departments in the College of Arts and Sciences, professional schools without departments, Academic Library Services, Health Sciences Library, and any other academic units in which faculty appointments are made. In the College of Arts and Sciences and in professional schools whose academic unit codes describe departmental structures, departmental chairs are the academic unit administrators. In schools that do not have departments described in their academic unit codes, the dean of the school is the academic unit administrator.



goes where?

Addenda:

The chair of the academic unit shall review the past five annual evaluations and annual reports of permanently tenured full time faculty members in the academic unit. The chair shall then submit to the academic unit tenure committee a list of those permanently tenured full time faculty members, who, within the past five years in residence, have been promoted, and/or who have received University awards for teaching, and/or research, and/or service. The academic unit chair shall submit a second list composed of the remaining permanently tenured full time faculty members ~~who have received at least an average ranking for their academic unit on their annual reports for each of the previous five years.~~ [These permanently tenured full time faculty shall be divided into four categories: those who have averaged 4.5 or more on their accumulated annual reviews for the past five years in residence; those who have averaged 3.5 to 4.5; those who have averaged 2.5 to 3.5; those who have averaged less than 2.5.]

Unless a majority of three fifths of the academic unit tenure committee members[,present and voting,] shall vote otherwise, the individual faculty members on each [the first list] shall be deemed as outstanding. Unless a majority of three fifths of the academic unit tenure committee members [, present and voting,] shall vote otherwise, the individual faculty members on each [the second list] shall be deemed satisfactory for averages 2.5 to 3.5, very good for averages 3.5 to 4.5, and excellent for those above 4.5 in their professional performance.] The academic unit tenure committee shall elect as many as 10 percent of these persons as outstanding faculty members. These recipients shall be awarded at least a 1 per cent merit raise by the University from funds outside the academic unit, as such funds are available.

From Henry Ferrell