EAST CAROLINA UNIVERSITY

Office of the Chancellor
103 Spilman

919-328-6212

April 15, 1998

Professor Don Sexauer
Chair
Faculty Senate
East Carolina University

Dear Professor Sexauer:

I have reviewed and approved Faculty Senate Resolution #98-13 as adopted by the Faculty Senate on April 7, 1998. Resolution #98-14 has been received.

Sincerely,

Richard R. Eakin
Chancellor

RRE/ra

cc: Richard Ringeisen
James Hallock

Greenville,
North Carolina
27858-4353

EAST CAROLINA UNIVERSITY

Faculty Senate
140 Rawl Annex

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COPY

9 April 1998

Chancellor Richard Eakin
East Carolina University
Spilman Building

Dear Dr. Eakin:

On Tuesday, the Faculty Senate adopted the following resolutions for your consideration:

98-13 Policy for the Cumulative Review of Permanently Tenured Faculty (attached).

98-14 The Faculty Senate of East Carolina University recommends that the Board of Governors initiate a review process to take place at least every five years. The review will consider the organization of the University of North Carolina and the effectiveness of the Board of Governors and the UNC General Administration. It further recommends that this review will be conducted by a committee whose majority consists of permanently tenured faculty members without administrative appointment.

Thank you for your consideration of the above mentioned resolutions.

Sincerely,

Don Sexauer
Chair of the Faculty

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attachment

c: Richard Ringeisen, Vice Chancellor for Academic Affairs
James Hallock, Vice Chancellor for Health Sciences

Greenville,
North Carolina
27858-4353

Resolution #98-13
Faculty Senate Approval: 7 April 1998
Chancellor Approval: pending

Policy for the Cumulative Review of Permanently Tenured Faculty East Carolina University

Preamble

On May 16, 1997, the Board of Governors mandated the review of performance of tenured faculty in the University of North Carolina system. This review, defined as the comprehensive, formal, periodic evaluation of cumulative faculty performance, has the purposes of ensuring faculty development and promoting faculty vitality. The June 24, 1997, Administrative Memorandum #371 from the General Administration of the UNC System required each constituent institution to create a policy that examines individual faculty contributions to departmental, school/college, and university goals as well as to the academic programs in which faculty teach. Guidelines mandate that the process shall recognize and reward exemplary faculty performance; provide for a clear plan and timetable for improvement of performance of faculty found deficient; and, for those whose performance remains deficient, provide for the possible imposition of appropriate sanctions or further action, including discharge. Further guidelines direct individual institutions to show the relationship between annual review and cumulative review, examine faculty performance relative to the mission of the unit and the university, include a review no less frequently than every five years, explicitly involve peers in the review process, assure written feedback as well as a mechanism for faculty response to the evaluation, and require individual development plans for all faculty receiving less than satisfactory ratings in the cumulative review.

East Carolina University's Policy for the Cumulative Review of Permanently Tenured Faculty meets the guidelines of the University of North Carolina General Administration and is consistent with East 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 five-year intervals, beginning with academic year 1998-1999, each permanently tenured faculty member shall have a review of all aspects of his or her professional performance during the review interval. A review leading to promotion in rank 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. Unit* administrators, deans, and administrators at the division or university level shall be excluded from this policy. After returning to full-time teaching/research responsibilities, administrators shall be evaluated in their fifth year and following five-year intervals.

Each academic unit shall decide whether all of its tenured faculty will be reviewed in the same year or whether its tenured faculty will be reviewed 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 disagreement. 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 disagreement 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 a minimum of three faculty members and one alternate from the permanently tenured voting faculty (ECU Faculty Manual, Appendix L, Section A. Voting Faculty Member) not holding administrative status to serve on the Cumulative Review Committee. The alternate shall serve when a member is unable to serve. Members on the Cumulative Review Committee shall serve for one academic year.

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 voting faculty not holding administrative status 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 Faculty shall cover all aspects of the faculty member's professional performance and be based on the faculty member's most recent annual reports and most recent annual performance evaluations (ECU Faculty Manual, Appendix C, Section III. Evaluations) 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. 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 period.

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.

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 disagreement within the unit. If the effort to resolve the disagreement fails, the matter will be referred to the next higher administrator for final decision.

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 disagreement 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.

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 development plan must identify specific strengths and deficiencies and also define specific goals or outcomes that would help the faculty member overcome the identified deficiencies. It should also outline activities, set guidelines, indicate approved criteria by which the faculty member could monitor his or her progress, and identify the source of any institutional commitments, if required. The development plan shall set reasonable time limits, not to exceed three academic years from the implementation of the plan. The plan shall represent a commitment by the faculty member, the Cumulative Review Committee, and the unit administrator to improve the faculty member's performance and provide adequate resources to support the plan. The plan shall be consistent with the 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 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, each party's draft of a plan will be forwarded to the next higher administrator, who will make the final decision. The faculty member's development progress shall be reviewed annually by the Cumulative Review Committee and the unit administrator, who shall provide a written evaluation of progress to the faculty member.

Subsequent Evaluation. If the faculty member's cumulative performance level is satisfactory within the designated period of time, 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. 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 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 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 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 units in which faculty appointments are made. In the College of Arts and Sciences and in professional schools whose unit codes describe departmental structures, departmental chairs are the unit administrators. In schools that do not have departments described in their unit codes, the dean of the school is the unit administrator.

Enclosures: Form A and B

Cumulative Review of Permanently Tenured Faculty

East Carolina University

Form A

Faculty member: _____ **School/department:** _____

Date: _____

I. <u>Summary of Annual Evaluations:</u>

	Year 1	Year 2	Year 3	Year 4	Year 5
A. Teaching/advising					
B. Research or creative productivity					
C. Professional service					
D. Patient Care					
E. Other duties					
OVERALL					

II. <u>Cumulative Review Evaluation:</u>

_____ Exemplary

_____ Satisfactory

_____ Deficient*

*A "deficient" evaluation must be accompanied by a written justification for this finding.

Submitted by: _____ _____

Unit Administrator — Date

Cumulative Review Committee Response:

_____ Agree

_____ Disagree

_____ _____

Committee Chair — Date

Cumulative Review of Permanently Tenured Faculty

East Carolina University

Form B

Faculty member: _____ **School/department:** _____

Date: _____

I. <u>Summary of Annual Evaluations:</u>

II. <u>Cumulative Review Evaluation:</u>

_____ Exemplary

_____ Satisfactory

_____ Deficient*

*A "deficient" evaluation must be accompanied by a written justification for this finding.

Submitted by: _____ _____

Unit Administrator Date

Cumulative Review Committee Response:

_____ Agree

_____ Disagree

_____ _____

Committee Chair Date