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**Faculty Senate Resolution #07-01**

**Approved by the Faculty Senate: January 30, 2007**

**Approved by the Chancellor: pending**

**Proposed Revisions to the ECU Faculty Manual, Part XII. Personnel Action Dossier**

(Additions are noted in bold print and deletions are noted in ~~strikethrough~~.)

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 Appendix D of the *East Carolina University Faculty Manual* 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.

The Personnel Action Dossier shall include the following items:

- A. A properly executed *ECU Cumulative Report for Reappointment, Promotion and Tenure* (see Attachment 1) **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.

**Actions involving tenure and promotion also require a properly executed *ECU Personnel Action Summary Form* (see Attachment 2).**

B. Recommendations

*(Note: The documents listed here will be added by the appropriate official as the Personnel Action progresses.)*

1. **For reappointment:**

- 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/Vice Chancellor's recommendation, signature, date**

2. **For tenure or reappointment:**

- a. A cumulative evaluation in narrative form of the candidate's teaching, research, service, and any other relevant duties, prepared by the unit Tenure Committee.
- b. A cumulative evaluation in narrative form of the candidate's teaching, research, service, and any other relevant duties, prepared by the unit administrator.
- c. Unit Tenure Committee's recommendation, signature of the chair of the unit Personnel Committee, and date
- d. Unit administrator's recommendation, signature, and date
- e. Dean's recommendation, signature, and date
- f. **Provost/Vice Chancellor's recommendation, signature, date**

3. **For promotion:**

- a. A cumulative evaluation in narrative form of the candidate's teaching, research, service, and any other relevant duties, prepared by the unit Promotion Committee.
- b. A cumulative evaluation in narrative form of the candidate's teaching, research, service, and any other relevant duties, prepared by the unit administrator.
- c. Unit Promotion Committee's recommendation, signature of the chair of the unit ~~Personnel~~ **Promotion** Committee, and date
- d. Unit administrator's recommendation, signature, and date
- e. Dean's recommendation, signature, and date
- f. **Provost**/Vice Chancellor's recommendation, signature, date

### C. Records of Evaluation

- 1. For evaluation for reappointment decisions:
  - a. Copies of the criteria for reappointment set forth by the code unit of the faculty member.
  - b. Copies of all written communications with the candidate on progress toward tenure, including all annual evaluations over the period of time appropriate to the decision.
  - c. Records of the discussions on annual evaluation meetings with the unit administrator (see Appendix C. III.).
  - d. Records of the assigned teaching duties and responsibilities including indication of released time over the period of time appropriate to the decision (see Part V. H).
  - e. Records of the annual discussions on the criteria for evaluating faculty performance.
- 2. For evaluation for tenure decisions:
  - a. Copies of the criteria for tenure set forth by the code unit of the faculty member.
  - b. Copies of all written communications with the candidate on progress toward tenure, including all annual evaluations over the period of time appropriate to the decision.
  - c. Records of the discussions on annual evaluation meetings with the unit administrator (see Appendix C. III.).
  - d. Records of the assigned teaching duties and responsibilities including indication of released time over the period of time appropriate to the decision (see Part V. H).
  - e. Records of the annual discussions on the criteria for evaluating faculty performance (**See Appendix D. II.A.3.**)
  - f. Copies of all communication with external reviewers, copies of the external reviews, and a listing of the documents reviewed.
- 3. For evaluation for promotion decisions:
  - a. Copies of the criteria for promotion set forth by the code unit of the faculty member.
  - b. Copies of all annual evaluations over the period of time appropriate to the decision.
  - c. A record of the assigned teaching duties and responsibilities including indication of reassigned time over the period of time appropriate to the decision. (see Part V, H)

- d. Copies of all communication with external reviewers, copies of the external reviews, and a listing of the documents reviewed.

In cases of application for tenure with simultaneous promotion, items B and C should be combined as appropriate.

D. Supporting materials

The faculty member, in consultation with the unit administrator and the chair of the unit personnel committee, may add materials in support of the activities and accomplishments listed in the *ECU Cumulative Report for Reappointment, Promotion and Tenure* (subject to size limitations in section G. below).

E. Other material

Materials not included in the categories listed in the cumulative report may be added to the dossier by the faculty member providing the unit administrator, in consultation with the Unit Personnel Committee, has an opportunity to include a response to such materials. In the event the unit administrator and Unit Personnel Committee cannot agree on a response, both may include a response.

F. Disagreements as to inclusion or removal of documents

The dossier shall include the required documents and lists relevant to the faculty member's teaching, research/creative activity, and service as described above. If the faculty member disagrees with the unit administrator and/or the unit personnel committee as to the inclusion of relevant documents, the documents will be included and each party may include a statement about the document in the dossier.

The candidate is allowed to review and include a response to the cumulative evaluations (see section B.3. above).

G. Size of Dossier

The total dossier must be contained in a single three ring binder (10 in. x 12 in.) with a thickness of no more than four inches (approximately 10 cm).

**(Faculty Senate Resolution #06-08, March 1, 2006)**

**Part XII. PERSONNEL ACTION DOSSIER  
Attachment 1.**

**EAST CAROLINA UNIVERSITY  
CUMULATIVE REPORT FOR REAPPOINTMENT, PROMOTION, AND TENURE**

**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
5. 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)
7. Professional credentials (certifications and licensures)
8. Professional employment history (list positions, ranks and dates of appointments in reverse chronological order)
9. Formal continuing education for professional development (courses, seminars, institutes, etc. and dates in reverse chronological order) School of Medicine (clinical staff): List all postgraduate Continuing Medical Education completed in the last 3 years (in reverse chronological order).

**B. Teaching (Didactic and Clinical) and Advising [narrative or bulleted list and relevant date(s)]**

1. Noteworthy accomplishments and practices in teaching
2. Noteworthy accomplishments and practices in advising and retention
3. Extraordinary duties assigned or elected in advising
4. Direction of student research and performances:
  - a. List undergraduate students and projects.
  - b. List graduate students and projects.
  - c. List memberships in graduate student's thesis/dissertation committees
5. Summary of teaching evaluations (student opinion of instruction survey results, peer reviews, and any additional supporting information)
6. Grants (listed by year in reverse chronological order) in support of teaching and advising. Provide a list of all grants applied for, listing for each the source, amount requested, title, and co-investigators. Designate status: awarded (including amount awarded if different from request), pending, rejected.
  - a. Grants/proposals through Office of Sponsored Programs
  - b. Grants/proposals through the Division of Institutional Advancement
  - c. University Grants
  - d. Reports to granting agencies: list agency(ies)
7. Medical Education:
  - a. Undergraduate medical student teaching, including didactic lectures, clinical teaching, conferences laboratories, student advising, and student

- preceptorships.
- b. Postgraduate medical teaching including clinical teaching and continuing medical education.
- c. Curriculum development in medical education.

**C. Research/Creative Activity:**

1. A brief statement of research activities and interests.
2. A complete list of publications in print, in reverse chronological order, beginning with the most recent publications (Note: School of Medicine should use the AMA format for publications):
  - a. Books and monographs
  - b. Journal articles
  - c. Chapters in books
  - d. Book reviews in professional journals
  - e. Abstracts (including those published in proceedings)
  - f. Microforms
  - g. Sound/video recordings musical scores
  - h. Art exhibitions, pictures in books, applied art
  - i. Articles in proceedings
  - j. Patents
  - k. Editorships of professional journals or books
  - l. Musical performances & productions
  - m. Theatrical performances & productions
  - n. Software development
  - o. Electronic publications
  - p. Clinical trials
  - q. Other (e.g., entries in encyclopedias)
3. Papers, creative works, etc. accepted for publication but not yet in print (attach a copy of letter of acceptance)
4. Other research publications: list title(s) and publication dates and publisher
5. Research presentations and posters: list organization, date, and title of presentation(s)
6. Participation in expert panels (include topics, meeting, date(s).
7. Visiting professorships or lectureships (include titles, place, date(s).
8. Pedagogical materials: list title(s) and publication dates and publisher
9. Grants (listed by year in reverse chronological order) in support of research/creative activity. Provide a list of all grants applied for, listing for each the source, amount requested, title, Principal investigator and co-investigators. Designate status: awarded (including amount awarded if different from request), pending, rejected.
  - a. Grants/proposals through Office of Sponsored Programs
  - b. Grants/proposals through the Division of Institutional Advancement
  - c. University Grants
  - d. Reports to granting agencies: list agency (ies)

- D. Clinical Practice:** For those faculty who provide patient care as a part of their duties, a patient care portfolio should be included to document their clinical practice activities. The patient care portfolio should include the following information:

1. Summary of relevant activities in clinical practice and evaluations of patient care quality.
  2. Noteworthy accomplishments and practices
  3. Extraordinary duties assigned or elected in clinical practice
  4. Development and/or evaluation of clinical services and programs
  5. Community service and outreach
- E. Professional and University Service (list by year, in reverse chronological order)**
1. University: Committee and special assignments
    - a. Unit: name of committee(s), role on committee(s) (member, chair, etc.), inclusive dates of service
    - b. Division: name of committee(s), role on committee(s) (member, chair, etc.), inclusive dates of service
    - c. University-wide: name of committee(s), role on committee(s), inclusive dates of service
    - d. UNC system: name of committee(s), role on committee(s), inclusive dates of service
    - e. Special assignments: title or role, brief description of assignment, inclusive dates of service
  2. Non-university committees and service:
    - a. Local
    - b. Regional
    - c. State
    - d. Other
    - e. Clinical Agency Committees and/or Hospital committees (Health Sciences Division)
  3. Professional Organizations (list by year in reverse chronological order)
    - a. Memberships in professional organizations: list memberships
    - b. Offices held or other official functions  
 President/Chair: list organization(s)  
 Other office(s): list office and organization(s)
    - c. Organization of meetings, workshops, and symposia: list organization(s)
    - d. Presentations (other than research) at meetings, workshops, and symposia: list organization, date, and title of presentation(s)
    - e. Service as editor or editorial board member: list board(s), list role(s)
    - f. Items reviewed, refereed, or juried for scholarly publications: list publication(s)
    - g. Items reviewed, refereed, or juried for granting agencies: list agency (ies)
    - h. Evaluation of faculty for other universities (peer review): list institution(s)
    - i. Consultantships: list client, specify whether paid or unpaid, briefly define activity
  4. Other professional service
  5. Grants (listed by year in reverse chronological order) in support of professional service. Provide a list of all grants applied for, listing for each the source, amount requested, title, and co-investigators. Designate status: awarded (including amount awarded if different from request), pending, rejected.
    - a. Grants/proposals through Office of Sponsored Programs
    - b. Grants/proposals through the Division of Institutional Advancement

c. University Grants

d. Reports to granting agencies: list agency(ies)

F. Honors and other noteworthy activity not covered above

G. Administrative Activities

1. Noteworthy accomplishments and practices in administration

2. Extraordinary duties assigned or elected

3. Summary of administrative evaluations

H. Community service: Include organization, dates, offices held.

I. Other: Include additional information deemed pertinent to this cumulative report.

J. Date this cumulative report was completed.

**Part XII. PERSONNEL ACTION DOSSIER**  
Attachment 2.

**EAST CAROLINA UNIVERSITY PERSONNEL ACTION SUMMARY FORM**  
(Administrator completes Section I. and faculty member (appointee) completes Section II.)

Section I. To be completed by the appropriate administrator(s).

Name of Appointee: \_\_\_\_\_

Department: \_\_\_\_\_ School/College: \_\_\_\_\_

Current Rank or Title: (if applicable) \_\_\_\_\_ Proposed Rank or Title: \_\_\_\_\_

Indicate Type of Action: (select all that apply)

Administrative Appointment:

New Faculty Appointment:

Promotion:

Conferral of Tenure:

Other: \_\_\_\_\_  
(describe)

Distinguished Professorship: \_\_\_\_\_  
(provide name of professorship)

Effective Date of Action: \_\_\_\_\_

Contract Period: Administrative Appointment: 9 mo.  12 mo.   
Faculty Appointment: 9 mo.  12 mo.

Salary: \$ \_\_\_\_\_ Source(s): State Funds: \$ \_\_\_\_\_ \*Non-State Funds: \$ \_\_\_\_\_

\*Indicate Sources of non-state funds generically ( i.e., grants, receipts, trust funds, endowments, medical faculty practice plan, etc.):

Prior Recommendations/Personnel Actions:  
(please check appropriate responses)

Source	Recommended	Not Recommended	Not Applicable
Appropriate Unit Personnel Committee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Chair/Unit Head	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Director	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Dean	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Provost/Vice Chancellor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Chancellor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Board of Trustees	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



Section II. To be completed by the faculty member.

1. Education Background: *(indicate degree, date earned and institution, note additional study & training)*

2. Teaching and other professional experience: *(Show inclusive dates, rank and/or title, institution or agency, and indicate first appointment at current institution with rank and any changes to date)*

3. Scholarly & Creative Activities:

Type	Number
Book	_____
Edited Book	_____
Chapter	_____
Refereed Journal Article	_____
Other Journal Article	_____
Juried Performance/Show	_____
Non-Juried Performance/Show	_____
Other: _____	_____
Other: _____	_____
Other: _____	_____

4. Membership in professional organizations:

5. Professional service on campus:

6. Professional service off campus:

### Format A

Faculty within the Academic Affairs Division must use Cumulative Report Format A. Faculty within the Health Sciences Division may choose between Cumulative Report Format A or B.

For reappointment, include all data since last personnel action.

For tenure, include all data from complete probationary period.

For promotion, include all data since last promotion.

- ~~1. General Information~~
  - ~~a. Name~~
  - ~~b. College or Professional School and Department~~
  - ~~c. Citizenship status if born outside of U. S. and visa status if applicable~~
  - ~~c. Date of first appointment to ECU~~
  - ~~d. Present rank and date at which present rank was established~~
  - ~~e. Educational background: degrees, dates conferred, and institutions. Indicate the status of any degree program in process.~~
  - ~~f. Formal continuing education for professional development (courses, seminars, institutes, etc.) and dates~~
- ~~2. Teaching and Advising [narrative or bulleted list and relevant date(s)]~~
  - ~~a. Noteworthy accomplishments and practices in teaching~~
  - ~~b. Noteworthy accomplishments and practices in advising and retention~~
  - ~~c. Extraordinary duties assigned or elected in advising~~
  - ~~d. Direction of graduate student research and performances: list students and projects~~
  - ~~e. Summary of teaching evaluations (student opinion of instruction survey results, peer reviews, and any additional supporting information)~~
  - ~~f. Grants (listed by year in reverse chronological order) in support of teaching and advising. Provide a list of all grants applied for, listing for each the source, amount requested, title, and co-investigators. Designate status: awarded [including amount awarded if different from request], pending, rejected.
    - ~~1) Grants/proposals through Office of Sponsored Programs~~
    - ~~2) Grants/proposals through the Division of Institutional Advancement~~
    - ~~3) University Grants~~
    - ~~4) Reports to granting agencies: list agency (ies)~~~~
- ~~3. Research/Creative Activity:~~
  - ~~a. A complete list (printout of publications database) of publications in print, in reverse chronological order, beginning with the most recent publications:
    - ~~1) Books and monographs~~
    - ~~2) Journal articles~~
    - ~~3) Chapters in books~~
    - ~~4) Book reviews in professional journals~~
    - ~~5) Abstracts (including those published in proceedings)~~
    - ~~6) Microforms~~
    - ~~7) Sound/video recordings musical scores~~
    - ~~8) Art exhibitions, pictures in books, applied art~~
    - ~~9) Articles in proceedings~~~~

- ~~10) Patents~~
- ~~11) Editorships of professional journals or books~~
- ~~12) Musical performances & productions~~
- ~~13) Theatrical performances & productions~~
- ~~14) Software development~~
- ~~15) Electronic publications~~
- ~~16) Other (e.g., entries in encyclopedias)~~
- ~~b. Papers, creative works, etc. accepted for publication but not yet in print  
(attach a copy of letter of acceptance)~~
- ~~c. Other research publications: list title(s) and publication dates and publisher~~
- ~~d. Research presentations: list organization, date, and title of presentation(s)~~
- ~~e. Pedagogical materials: list title(s) and publication dates and publisher~~
- ~~f. Grants (listed by year in reverse chronological order) in support of  
research/creative activity. Provide a list of all grants applied for, listing for  
each the source, amount requested, title, and co-investigators. Designate  
status: awarded [including amount awarded if different from request],  
pending, rejected.~~
  - ~~1) Grants/proposals through Office of Sponsored Programs~~
  - ~~2) Grants/proposals through the Division of Institutional Advancement~~
  - ~~3) University Grants~~
  - ~~4) Reports to granting agencies: list agency (ies)~~
- ~~4. Professional and University Service (list by year, in reverse chronological  
order)~~
  - ~~a. University: Committee and special assignments~~
    - ~~1) Unit: name of committee(s), role on committee(s) (member, chair, etc.),  
inclusive dates of service~~
    - ~~2) University-wide: name of committee(s), role on committee(s), inclusive  
dates of service~~
    - ~~3) UNC system: name of committee(s), role on committee(s), inclusive dates  
of service~~
    - ~~4) Special assignments: title or role, brief description of assignment,  
inclusive dates of service~~
  - ~~b. Professional Organizations (list by year in reverse chronological order)~~
    - ~~1) Memberships in professional organizations: list memberships~~
    - ~~2) Offices held or other official functions President/Chair: list organization(s)  
Other office(s): list office and organization(s)~~
    - ~~3) Organization of meetings, workshops, and symposia: list  
organization(s)~~
    - ~~4) Presentations (other than research) at meetings, workshops, and  
symposia: list organization, date, and title of presentation(s)~~
    - ~~5) Service as editor or editorial board member: list board(s), list role(s)~~
    - ~~6) Items reviewed, refereed, or juried for scholarly publications: list  
publication(s)~~
    - ~~7) Items reviewed, refereed, or juried for granting agencies: list agency (ies)~~
    - ~~8) Evaluation of faculty for other universities (peer review): list  
institution(s)~~
    - ~~9) Consultants: list client, specify whether paid or unpaid, briefly define  
activity~~
  - ~~c. Other professional service~~

- ~~\_\_\_\_\_d. Grants (listed by year in reverse chronological order) in support of professional service. Provide a list of all grants applied for, listing for each the source, amount requested, title, and co-investigators. Designate status: awarded [including amount awarded if different from request], pending, rejected.~~
- ~~— 1) Grants/proposals through Office of Sponsored Programs~~
  - ~~— 2) Grants/proposals through the Division of Institutional Advancement~~
  - ~~— 3) University Grants~~
  - ~~— 4) Reports to granting agencies: list agency (ies)~~
- ~~— 5. Honors and other noteworthy activity not covered above~~
- ~~— 6. Date this cumulative report was completed~~
- 

### **Cumulative Report Format B**

Faculty within the Academic Affairs Division must use Cumulative Report Format A. Faculty within the Health Sciences Division may choose between Cumulative Report Format A or B.

#### Personal Information

Name

Home Address

School of Medicine Address

#### Education

Degree, Awarding Institutions, Dates, Specialty (in chronological order)

Postgraduate Training Fellowships

Residencies

Traineeships

#### Employment History

List positions, ranks and dates of appointment (in chronological order)

#### Certification

Include certification number, dates and location

#### Licensure

Include license number, dates and location

#### Professional Societies

Include offices and dates held in chronological order

#### Professional Service

Consultant (include dates, locations)

Editorial Appointment (include dates)

Other (site visits, review panels, etc.)

#### Grants Funded or Approved

Include title, type, relationship to project, dates, source(s)

—NOTE\* Label or identify:

- ~~\_\_\_\_\_ Grants — funded or nonfunded~~
- ~~\_\_\_\_\_ Grants — awarded or pending~~
- ~~\_\_\_\_\_ Grants — principal investigator or co-principal investigator~~
- ~~\_\_\_\_\_ \$ amount of grant~~

#### Committees

~~Include dates and offices held:~~

- ~~\_\_\_\_\_ Within the Division of Health Sciences~~
- ~~\_\_\_\_\_ East Carolina University~~
- ~~\_\_\_\_\_ Hospital committees~~
- ~~\_\_\_\_\_ Previous hospital and medical school~~
- ~~\_\_\_\_\_ Regional~~
- ~~\_\_\_\_\_ State~~
- ~~\_\_\_\_\_ National~~
- ~~\_\_\_\_\_ International~~

#### Administrative Activities

~~Including department division, clinic, service or team responsibilities; dates~~

#### Teaching Activities

~~Undergraduate medical teaching including lectures, conferences, laboratories, student advising and student preceptorships offered Postgraduate medical teaching including clinical teaching and continuing medical education Graduate teaching at the doctoral level including thesis supervision and graduate student committee membership.~~

~~Curriculum development including materials produced, research on teaching methodology, and outside consultation provided on medical and graduate education.~~

~~Self-development as a teacher (e.g. attendance at teaching workshops)~~

~~Membership in professional association's subgroup on education (offices held, program chairmanships)~~

#### Patient Care Portfolio (pending consideration by Faculty Governance Committee)

~~For those faculty who provide patient care as part of their duties, the patient care portfolio shall include a summary of relevant activities and evaluations of patient care quality. Other evidence of patient care not included in this document may also be listed with annotation. Annotated references may be made to funding activities described in section h. of this document. It is the responsibility of the faculty member to have the listed evidence available if requested by reviewers at any level.~~

#### Postgraduate Education

~~List all postgraduate educational training completed in the last three years (in chronological order)~~

#### Research Activities and Interests

~~A brief statement of investigative interests~~

Publications NOTE: whether publications are refereed or non-refereed

~~Include publications only if published or accepted for publication; report in AMA format,~~

authors in original sequence:

- ~~\_\_\_\_\_ In refereed journals~~
- ~~\_\_\_\_\_ In non-refereed journals~~
- ~~\_\_\_\_\_ Abstracts~~
- ~~\_\_\_\_\_ Editorials~~
- ~~\_\_\_\_\_ Contributions to textbooks~~
- ~~\_\_\_\_\_ Book reviews~~

Presentations

~~Papers (meeting, title author(s), date(s))~~

~~Panels (topic, meeting, date)~~

~~Exhibits (title, meeting, date)~~

~~Visiting professorships or lectureships (place, date, time)~~

Special Honors and Awards

~~Include dates~~

Community Service

~~Include organization, dates, offices held~~

Other Information

~~Include additional information deemed pertinent to this vitae~~