



Faculty Senate
East Carolina University
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✓ sent to att ✓

October 8, 2008

Chancellor Steve Ballard
East Carolina University
Spilman Building

Dear Dr. Ballard:

On October 7, 2008, the Faculty Senate adopted the following resolutions for your consideration. Details on the resolutions are attached.

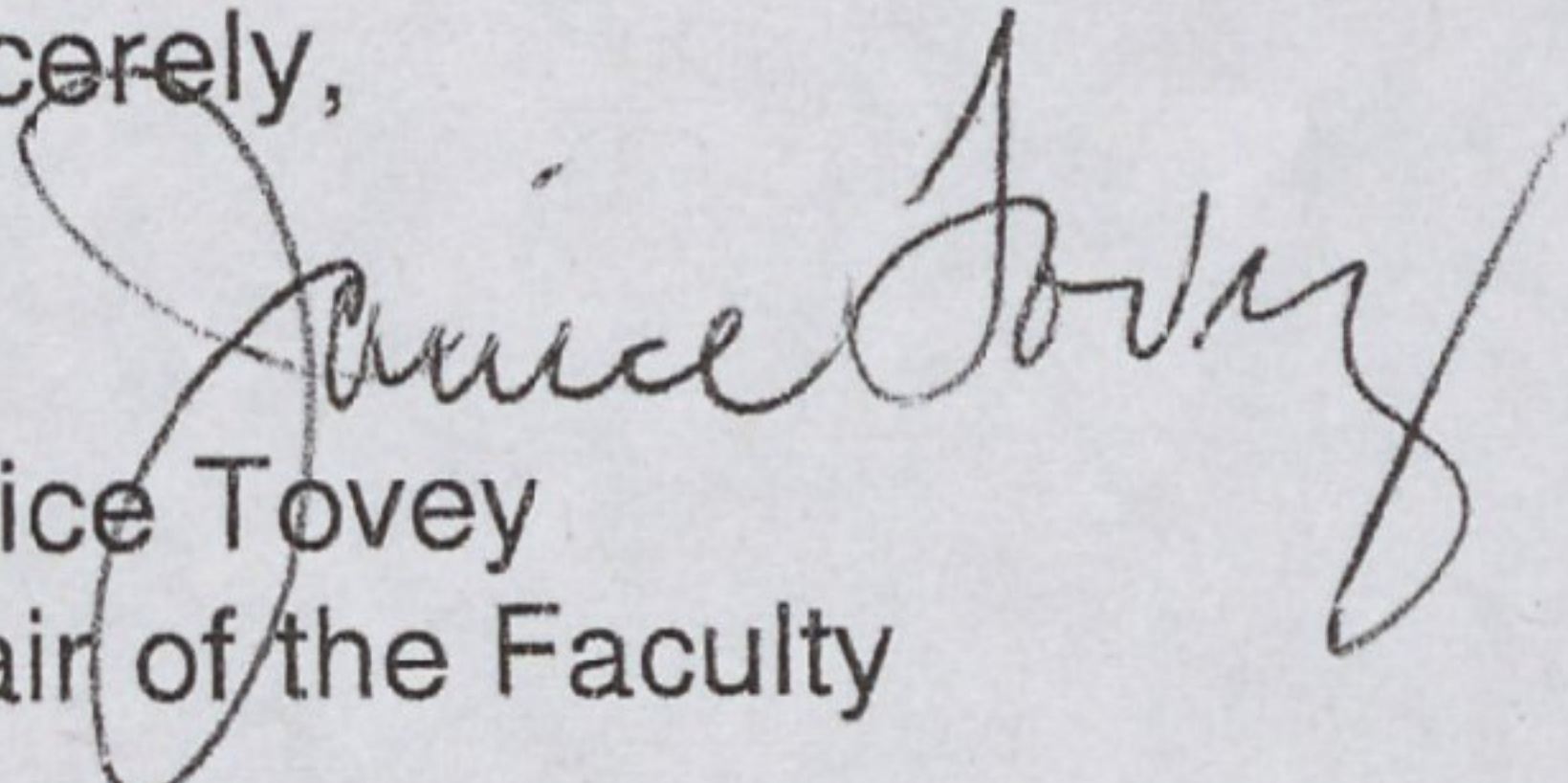
- ✓ 08-40 Request for Authorization to Establish a PhD Program in Curriculum and Instruction in the College of Education. (Information is available online at: <http://www.ecu.edu/cs-acad/fsonline/customcf/fsagenda/908education.doc>)
- ✓ 08-41 Guidelines for Preparing a Cumulative Evaluation (attachment 1).
- ✓ 08-42 Revisions to the *ECU Faculty Manual*, Appendix B. Policy for the Cumulative Review of Permanently Tenured Faculty of ECU (attachment 2).

The Faculty Senate also acted on the following resolution that does not require your approval.

08-43 The Faculty Senate supports the degree of transparency embodied by the Faculty Governance Committee's policy on the Review of Administrators.

Thank you for your consideration of the above mentioned resolutions.

Sincerely,


Janice Tovey
Chair of the Faculty

Attachments
copy via email

Faculty Officers
Marilyn Sheerer, Interim Provost and Vice Chancellor for Academic and Student Affairs
Phyllis Horns, Interim Vice Chancellor for Health Sciences
Deirdre Mageean, Vice Chancellor for Research and Graduate Studies

Faculty Senate Resolution #08-41

Approved by the Faculty Senate: October 7, 2008

Approved by the Chancellor: pending

GUIDELINES FOR PREPARING A CUMULATIVE EVALUATION

Required by the ECU *Faculty Manual*, Part XII. Personnel Action Dossier ("PAD")

For Promotion and Tenure Recommendations

In accordance with provisions contained in Part XII(B)(2) of the ECU *Faculty Manual*, the Personnel Action Dossier ("PAD") of a candidate for tenure will include, "One [C]umulative [E]valuation in narrative form of the candidate's teaching, research, service, and any other relevant duties, prepared by the unit Tenure Committee. A draft of this [C]umulative [E]valuation, to be completed after the candidate turns in the PAD, should be available for discussion by the entire Tenure committee before the vote. (Faculty Senate Resolution #08-27, May 2008)." In addition, the candidate's PAD will include, "A [C]umulative [E]valuation in narrative form of the candidate's teaching, research, service, and any other relevant duties, prepared by the unit administrator."

In accordance with the provisions contained in Part XII(B)(3) of the ECU *Faculty Manual*, the PAD of a candidate for promotion will similarly include, "One [C]umulative [E]valuation in narrative form of the candidate's teaching, research, service, and any other relevant duties, prepared by the unit Promotion Committee. A draft of this [C]umulative [E]valuation, to be completed after the candidate turns in the PAD, should be available for discussion by the entire Promotion committee before the vote. (Faculty Senate Resolution #08-27, May 2008)." Further, the candidate for promotion's PAD will include, "A [C]umulative [E]valuation in narrative form of the candidate's teaching, research, service, and any other relevant duties, prepared by the unit administrator."

These guidelines, with some examples noted below, are intended as a tool to assist unit committees and unit administrators in preparing Cumulative Evaluations. These are guidelines only; the Cumulative Evaluations prepared by the Tenure/Promotion Committees and the unit administrator must be consistent with criteria and provisions stated in the approved Unit Code and consistent with the assigned responsibilities of the candidate.

Similar to the annual progress toward tenure letters, the Cumulative Evaluation should be objective, summarizing the candidate's strengths and weaknesses in teaching, research/creative activity, service, and patient care and related clinical activity (if appropriate).

Teaching

Provide an evaluation in the form of a narrative summary of the candidate's strengths and weaknesses in teaching. Determine how the candidate has either maintained or improved the quality of instruction. Areas to consider *may* include:

A statement of the unit's expectations for teaching as contained in the Unit Code, as well as a description of how the candidate has met, failed to meet, or exceeded these expectations, including supporting examples;

A discussion of the quality of the candidate's contributions in teaching, using approved methods of evaluating teaching performance;

An evaluation of the candidate's teaching contributions relative to the unit's needs;

A description of noteworthy accomplishments of students for whom the candidate has been advisor;

A discussion of the candidate's involvement in curriculum development, including role in the design and implementation of new or revised courses, development of new teaching methods or materials, creation of new academic programs.

Research/Creative Activity

Provide an evaluation in the form of a narrative summary of the candidate's strengths and weaknesses in research and creative activity. Areas to consider **may** include:

A statement of the unit's expectations for research as contained in the Unit Code, as well as a description of how the candidate has met, failed to meet, or exceeded these expectations, including supporting examples;

An evaluation of the candidate's contributions in research and creative activity relative to the unit's needs, including a discussion of the research/scholarship career thrust, strategy and emphases of the candidate;

A statement evaluating the current national and international standing of the candidate in the discipline.

Service

Provide an evaluation in the form of a narrative summary of the candidate's strengths and weaknesses in service. Areas to consider **may** include:

A statement of the unit's expectations for service as contained in the Unit Code, as well as a description of how the candidate has met, failed to meet, or exceeded these expectations, including supporting examples;

An evaluation of the candidate's contributions in service relative to the unit's needs, including significance and external recognition of the candidate's service activities and assumption of leadership roles.

Patient Care and Related Clinical Activity (as appropriate)

Provide an evaluation in the form of a narrative summary of the candidate's strengths and weaknesses in patient care and related clinical activity. Areas to consider **may** include:

A statement of the unit's expectations for patient care and clinical activity as contained in the Unit Code, as well as a description of how the candidate has met, failed to meet, or exceeded these expectations, including supporting examples;

An evaluation of the candidate's contributions in patient care and clinical activity relative to the unit's needs, including significance and impact of clinical services not otherwise available in the region.

Procedures for Cumulative Evaluations

After the candidate's PAD is provided to the Unit Committee (Tenure or Promotion, as appropriate), one draft Cumulative Evaluation will be prepared by the Committee. The Tenure/Promotion Committee may designate one or more of its members to prepare the draft for consideration by the entire Committee's membership. All materials pertaining to the pending personnel action must be available for inspection at least five business days prior to the Committee meeting. The appropriate Committee (Tenure or Promotion) will discuss all materials presented, decide on the final contents of the Cumulative Evaluation, conduct the required secret ballot vote, and compile the results of the vote.

The Tenure/Promotion Committee shall forward the candidate's complete PAD, Committee's recommendation, and its Cumulative Evaluation to the unit administrator. The Committee will also forward a copy of its recommendation and its Cumulative Evaluation to the candidate, with a statement that the candidate has four working days from the date of the letter to include a response to the Committee's Cumulative Evaluation. If the candidate disagrees with the contents of the Cumulative Evaluation, it is the responsibility of the candidate to make this disagreement known in writing, addressed to the Chair of the Tenure/Promotion Committee (as appropriate), for inclusion in the candidate's personnel file and the PAD. Copies of this written response will be provided by the candidate's to the unit administrator to be placed in the candidate's personnel file.

After receiving the candidate's PAD, the Committee's recommendation and Cumulative Evaluation, and, if appropriate, the candidate's written response, the unit administrator will write his/her own Cumulative Evaluation. The unit administrator will forward the complete PAD, his/her own Cumulative Evaluation and his/her recommendation to the next administrative level.

The unit administrator will also forward a copy of his/her Cumulative Evaluation and his/her recommendation to the candidate, with a statement that the candidate has four working days from the date of the letter to include a written response to the unit administrator's Cumulative Evaluation. The unit administrator will also send a copy of his/her recommendation and Cumulative Evaluation to the Tenure/Promotion Committee. If the candidate disagrees with the contents of the unit administrator's Cumulative Evaluation, it is the responsibility of the candidate to make this disagreement known in writing addressed to the next-level administrator, with a copy to the appropriate Committee and the unit administrator. Copies of this written response will be placed in the candidate's personnel file by the unit administrator.

Faculty Senate Resolution #08-42

Approved by the Faculty Senate: October 7, 2008

Approved by the Chancellor: pending

Proposed Revisions to the *ECU Faculty Manual*, Appendix B. Policy for the Cumulative Review of Permanently Tenured Faculty of ECU

(All additions are noted in **bold** print and deletions in ~~strikethrough~~.)

APPENDIX B
**POLICY FOR PERFORMANCE REVIEW OF TENURED FACULTY
OF EAST CAROLINA UNIVERSITY**

~~POLICY FOR THE CUMULATIVE REVIEW OF PERMANENTLY TENURED FACULTY
OF
EAST CAROLINA UNIVERSITY~~

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**POLICY FOR PERFORMANCE REVIEW OF TENURED FACULTY
OF EAST CAROLINA UNIVERSITY**

~~Policy for The Cumulative Review of Permanently Tenured Faculty
Of East Carolina University~~

I. 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.

On March 10, 2008, the UNC Board of Governors revised its Guidelines on Performance Review of Tenured Faculty (The UNC Policy Manual: 400.3.3.1(G)). On October 15, 2008, this ECU performance review policy was revised accordingly.

East Carolina University's Policy for the ~~Cumulative~~ **Performance** Review of ~~Permanently~~ Tenured Faculty meets the **revised** guidelines of the University of North Carolina General Administration and is consistent with East Carolina University's **Faculty Manual** and ~~the Code~~ **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 **performance** 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.

II. Description of Policy

~~[Please refer to interpretation #198-10 located in the Index of ECU Faculty Manual Interpretations at <http://www.ecu.edu/fsonline/interpretations.htm>.]~~

A. 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's tenure committee 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.

B. Performance Standards for the Review

For the cumulative review of performance for the five-year period, the unit's Tenure Committee shall ~~draft~~ **review current** standards of "exemplary," "satisfactory," and "deficient" performance **and revise as necessary**. ~~taking into account~~ **These standards will comply with** 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 and should address the faculty member's teaching, research, service and other duties, including contributions to the departmental college/school and university goals, contributions to the academic programs in which the faculty member teaches and any other professional activities bearing on the faculty member's performance of his or her duties during the period under review.**

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.

C. **Cumulative Performance Review Committee (CPRC)**

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 Performance Review Committee**. The alternate shall serve when a member is unable to serve. Members on the **Cumulative Performance 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.

D. **Review Process**

Cumulative Performance 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 will be informed by the faculty member's annual reports and annual evaluations (ECU Faculty Manual, Appendix C, Section III. Evaluations), but primarily shall be based on a comprehensive assessment of the faculty member's teaching, research, service and other duties, including contributions to the departmental college/school and university goals, contributions to the academic programs in which the faculty member teaches and any other professional activities bearing on the faculty member's performance of his or her duties during the period under review.** ~~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 performance** 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 performance review report which shall consist of a narrative evaluation of the overall performance of the candidate that takes into account the relative weights assigned to each duty during each of the years being reviewed and the amount of reassigned time from teaching to the performance of other duties for each year under review. This evaluation shall conclude with an overall ranking that categorizes each faculty member's performance as exemplary, satisfactory, or deficient.

The **evaluative** report, together with the faculty member's annual reports and annual performance **evaluations for the period under review, a copy of the faculty member's current curriculum vita, and any other material the faculty member wishes to provide to the review committee in support of his/her professional performance over the review period, shall be forwarded to reviewed by the Cumulative Performance Review Committee. Any additional supporting material provided by the faculty member to the Performance Review Committee shall become part of the permanent personnel file.** For each faculty member, the ~~Cumulative Performance~~ Review Committee shall either agree or disagree with the findings of the unit administrator.

When the unit administrator and the ~~Cumulative Performance~~ Review Committee agree, the **Performance Review Committee shall report this agreement on the Form A. The unit administrator shall provide a copy of the report the results of the cumulative review in writing to the faculty member and to the next higher administrator, and place a copy of the report in the faculty member's personnel file.**

When the unit administrator and ~~Cumulative Performance~~ Review Committee disagree, every effort (including discussion and negotiation) ~~will~~ **shall** be made to resolve the disagreement within the unit. If the effort to resolve the disagreement fails, **the Performance Review Committee shall prepare its own report. The unit administrator shall provide copies of both reports to the faculty member and the matter will be referred to the next higher administrator, who ~~for final decision~~ after reviewing both reports and the faculty member's supporting materials, shall make the final decision, which shall be reported in writing to the faculty member. A copy of the final decision shall be placed in the faculty member's personnel file and provided to both the Performance Review Committee and the unit administrator. , the matter will be referred to the next higher administrator for final decision.**

E. Rewards

The first priority of the revised UNC Guidelines on Performance Review of Tenured Faculty is that faculty whose cumulative review reflects exemplary performance shall be recognized and rewarded. A faculty member whose review reflects exemplary performance may be recognized in ways including, but not limited to, nomination for awards, merit salary increases, research leaves, and/or revisions of work load.

F.E. 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~~ **Performance** Review Committee reconsider the evaluation based on additional substantive information provided by the faculty member. In reconsidering the evaluation, the unit administrator and ~~Cumulative~~ **Performance** Review Committee shall have the opportunity to nullify, modify, or reconfirm the original evaluation (**or evaluations, in the case of disagreement between the committee and the unit administrator**). **The response of the faculty member to the report of deficient performance and the decision of the committee and the unit administrator shall be reported to the next higher administrator.**

When the committee and the unit administrator disagree on the appropriate action after a reconsideration initiated by the faculty member under review, ~~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 **conflicting responses to the reconsideration appeal by the faculty member under review 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 final decision of a higher administrator shall be reported in writing to the faculty member and a copy of the final decision shall be placed in the faculty member's personnel file and provided to both the Performance Review Committee and the unit administrator.**

G.F. Faculty Development Plan

A faculty member whose cumulative review reflects deficient performance shall negotiate a formal development plan with the ~~Cumulative~~ **Performance** 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~~ **Performance** 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 Performance~~ 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 **in a meeting that occurs at least semiannually** by the ~~Cumulative Performance~~ Review Committee and the unit administrator, who shall provide a written evaluation of progress to the faculty member.

H.G. 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 **Chapter VI of the *The Code*** of the Board of Governors of the University of North Carolina.

*With respect to personnel matters relating to ~~Cumulative Performance~~ 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.

III. Form A: **Report on Performance Review of Tenured Faculty A and B**

Approved: Faculty Senate Resolution #98-13
15 April 1998
East Carolina University Chancellor

Amended: Faculty Senate Resolution #98-29, November 1998
Interpretation made to Section II., October 1998
Faculty Senate Resolution #08-42, October 2008 (pending)

Cumulative Review of Permanently Tenured Faculty
East Carolina University
Form A

Faculty member: _____ School/department: _____

Date: _____

I. Summary of Annual Evaluations:

	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. Cumulative Review Evaluation: _____ 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 **Performance** Review of Permanently-Tenured Faculty
East Carolina University

Faculty member: _____

School/department: _____ Date: _____

I. **Summary of Annual Narrative Evaluations of most recent 5 years of faculty performance:**

II. Cumulative **Summary Performance** Review Evaluation: _____ Exemplary
_____ Satisfactory
_____ Deficient*

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

Submitted by: _____ Date _____
Unit Administrator

Cumulative **Performance** Review Committee Response: _____ Agree
_____ **Disagree**

Committee Chair Date _____