

## **ELIZABETH CITY STATE UNIVERSITY Promotion and Tenure Policy Guidelines**

These guidelines outline core principles and procedures for promotion and tenure at ECSU. These core principles and procedures are designed to support high academic standards in awarding promotion and tenure, and ensuring a rigorous, comprehensive, and fair assessment of the applicants. Academic departments may set their criteria above, but not lower than these guidelines. The purpose of these guidelines is to set forth a uniform system of faculty review for promotion and tenure across various departments/programs at ECSU.

### **1. Role of Scholarship**

Faculty review for promotion and/or tenure is based on scholarship that enhances the fulfillment of the mission of the University and is characterized by creative intellectual work based on a high level of professional expertise, the significance of which can be validated by peers. Scholarship is not limited to research, but can be demonstrated by activities in teaching, research and creative activity, service, and directed professional activity.

### **2. Primary Responsibility for Faculty Review**

The primary responsibility for faculty review lies within the candidate's program and department. To assure an equitable review, the minimum guidelines in this document must, at a minimum, be followed at each level and incorporated in departmental promotion and tenure policy/guidelines. The departmental criteria for promotion and tenure shall not be lower than the minimum guidelines established in this document. Further, promotion and/or tenure review is a peer review process in which tenured faculty within or, in extraordinary cases, without a department, participate fully. For that reason, only tenured faculty should review and vote on tenure decisions at all levels. However, in order to commence deliberation on any candidate, the Departmental Tenured Faculty Committees (DPTC) must consist of at least five members. If at any time the DPTC is requested to deliberate and there are less than the required number of members eligible to participate, then the chair of the department, in consultation with the Provost and Vice Chancellor for Academic Affairs, is authorized to select the additional eligible tenured faculty from other closely related academic departments. For promotion to various ranks, only equal or higher ranks should vote: (i.e. only professors should review and vote on applications for promotion to professor, whereas associate professors and professors can review requests for promotion to associate professor).

### **3. Committee Guidelines**

Committee recommendations at all levels of review must be based on written tenure and promotion criteria and standards that have been approved in accordance with this policy. Committee recommendations must include the title, name, rank, and tenure status of each member of the review committee. Faculty who vote on a candidate's request at one level may not vote on that candidate at another review level. All committee deliberations shall be conducted in confidence and the committee's findings shared in writing with the appropriate administrator in the evaluation sequence. Departmental committee, department chair, and the

university-wide promotion and tenure committee must conduct independent reviews of the tenure or promotion application and make thorough written recommendations based on an examination of all portfolio materials. Each subsequent review body is responsible for considering and documenting any procedural problems it identifies in the prior review and for making every effort to correct any errors caused by those procedural errors.

The same promotion and tenure guidelines must be used at each level of review.

#### **4. Procedures**

##### Faculty Member (Applicant) Responsibilities

- i. Faculty members seeking promotion and/or tenure can apply at any point in their probationary period as long as the faculty member meets the eligibility requirements in terms of time in rank or at the university and terminal degree or equivalent in the discipline, and other criteria as per university policy. At ECSU, a faculty member must be employed by the University a minimum of three years or have served/taught at a prior accredited university for 5 years before applying for promotion. The same standards apply for probationary faculty seeking to make tenure applications. Faculty members are advised to consult with senior faculty and the chair of the department before submitting their application for either promotion or tenure. The candidate for promotion or tenure will submit the application with supporting documentation in the form of a portfolio to the department chair by the annual deadline posted by Academic Affairs. The candidate should thoroughly review the portfolio for completion before submitting it to the chair.
- ii. The chair will initiate the review process upon the request of an eligible faculty member regardless of the time the faculty member has spent in rank or at the present institution or department; however, the faculty member must have satisfied ECSU's minimum length of employment required as outlined in Section 4(A)(1) in the preceding paragraph. The evaluation packet must be completed by the faculty member prior to the departmental review, and it is the faculty member's responsibility to see that the packet is complete.
- iii. The candidate submits the application for promotion and/or tenure to the department chairperson and signs the application checklist for completion of materials. After the candidate has verified her/his packet, no materials can be added, deleted, or changed without the candidate's consent, except in the case of assessments by committees or administrators charged with review, or clarifications and documentation of assertions made by the candidate when requested in writing by the official reviewing body. Candidates are to refrain from interfering with the review process, to include any requests regarding the outcome of deliberations at any level in the process. Candidates are not permitted to discuss the review process or send any communication regarding the review to members of the review committee. Any attempt to do so is grounds for removal of the candidate's consideration for promotion and/or tenure.

## Departmental Responsibilities

- i. Once the packet is verified for its completion, the department chair submits the packet to the Chair of the respective DPTC, comprised only of departmental tenured faculty members. The DPTC shall forward to the department chair a written recommendation on all promotions, reappointments and tenure. The recommendation of the DPTC shall be submitted in writing by the chairperson with his/her recommendation to the Provost/Vice Chancellor for Academic Affairs. It is recommended that all tenured faculty members in the department participate on the DPTC.
- ii. The chair of the department, or any other administrator who reviews the application at another level, shall not be a member of the DPTC. Faculty members who are in phased retirement are not eligible to vote on tenure/promotion requests. Relatives or those in an amorous relationship (as defined in ECSU's Policy 200.3.6, Section 1.L.) may not be involved in evaluating one another and a plan mitigating such a conflict of interest must be determined and approved by the Provost and Vice Chancellor for Academic Affairs.
- iii. The duty of the DPTC is to give advice and make recommendations on all candidates for promotion and tenure to the department chair. The process begins with a review of the portfolio, which shall include faculty credentials and other materials submitted by the applicant. Each member of the DPTC, in order to vote, must review all relevant materials and complete an evaluation rubric independently. All members of the DPTC shall meet to discuss the applications for promotion and tenure. Such discussions and the materials reviewed must
- iv. Following a secret ballot vote of the DPTC, the chair of the DPTC is required to forward to the Department Chair a written recommendation with an objective analysis of the packet given by members of the DPTC for each evaluation category, explaining the categories with both satisfactory and unsatisfactory scores. The individual faculty members making the assessment shall not be identified. This report shall include the names and ranks of the voting DPTC members. Any missing assessment may be registered as an abstention and an explanation for the abstention must be provided in an accompanying letter.

The Department Chair shall review the DPTC's recommendation and the faculty member's application consistent with the Tenure and/or Promotion guidelines. The Department Chair shall write a letter to support or not to support the candidate's application for promotion and/or tenure, which includes the strengths and weaknesses of the candidates, based on information provided by the DPTC. This letter becomes a permanent part of the portfolio. The application packet is sent by the department chair to the Office of the Provost and Vice Chancellor of Academic Affairs who will forward the recommendations to the Personnel Committee of the ECSU Faculty Senate. This letter shall include details of discipline-specific content of the portfolio for better understanding and evaluation by the reviewers outside the discipline, in addition to the strengths and weaknesses of a candidate's case, as appropriate. This letter should provide an explanation of the quality of the candidate's work

in all areas with reference to the department's written discipline-specific clarifications of the promotion and/or tenure criteria, describe the quality of the journals or other venues in which the candidate has published, assess creative works, and provide insight into the nomination for the benefit of the committees that will be reviewing the packet. Since many reviewers within the university may not be experts in the nominee's field, information should be given regarding the review process for publications, the significance of any awards, the quality of the candidate's service contribution, and any other clarifications which will assist the reviewers in evaluating the materials, including an explanation of how a senior author is determined in multi-author publications. The letter should also explain the accomplishments in teaching, quality of advising including the role of faculty member in student research, publications, presentations and preparation in general. This letter may explain unusual assignments or unique contributions, and must address negative, abstaining or absent votes. The letter should describe the process of the departmental review and should note any actual or perceived conflicts of interest. The Department Chair should include an evaluation of the creative products, works or activities such as drama productions, music CDs or videos produced, and art exhibitions, etc., with a note on the candidate's contribution to its development and the product's contribution to the field. Solicited letters of evaluation may also be used to obtain peer review of such products. The Department Chair must indicate in the packet an endorsement or lack of endorsement for the request before it is made available to Faculty Senate's Personnel Committee via the Office of the Provost.

- v. The application must next go to the Personnel Committee of the ECSU Faculty Senate for review. Included with the application are the Department Chair's letter and all assessments conducted by the DPTC.

#### A. Faculty Senate Personnel Committee Responsibilities

- a. The Personnel Committee, an autonomous committee of the Faculty Senate, is a university-wide committee created to review promotion and tenure applications received from the department chairs (or directors) and serves in a fact-finding and consultative role for the Provost. This committee shall have a minimum of seven full-time tenured faculty members elected by the general faculty through the Faculty Senate.
- b. Each term of elected members shall be as determined by the Faculty Senate By-Laws. The elected members of the Personnel Committee select their chair through majority vote annually.
- c. Members of the committee should be associate professors and full professors so that they are all able to vote on all promotion and tenure requests; the majority of committee members should be full professors.
- d. For promotion application evaluations, all members of the committee will vote on assistant professor to associate professor rank. Only full professors on the committee

shall vote on associate to full professor ranks, though all the committee members can participate in deliberations. No committee member should have a rank lower than the rank being voted for promotion.

- e. The Personnel Committee members will review all the application packets to give written assessments on each candidate's strengths and weaknesses using an evaluation rubric, in addition to their secret ballot vote. The Chair of the Personnel Committee will submit a summary report of committee findings, reflecting the committee's secret ballot vote and average ratings/assessments of all members, with a thorough explanation of any negative ratings to the Provost. The names and ranks of the committee members voting will be submitted with the final report for promotion and tenure requests separately.

#### B. Responsibilities of Provost and Chancellor

If, after a thorough evaluation, the Provost/Vice Chancellor for Academic Affairs decides not to recommend reappointment, promotion, or the conferral of tenure that decision shall be communicated in a letter to the faculty member from the Provost/Vice Chancellor for Academic Affairs. If the Provost and Vice Chancellor for Academic Affairs and the Chancellor concurs in a recommendation that will confer tenure or promotion, the recommendation shall be forwarded to the Board of Trustees. If the Chancellor concurs in a recommendation that will confer permanent tenure, s/he shall consult with the Board of Trustees and, unless dissuaded, forward the recommendation to the President of the University of North Carolina system for final approval by the Board of Governors. All other favorable recommendations by the Chancellor in regard to reappointments and promotions shall be forwarded by the Chancellor to the Board of Trustees for final approval.

#### C. Notice of Denial

In the case of a denial, the nominee shall be notified in writing by the Provost/Vice Chancellor for Academic Affairs.

### 5. Promotion and Tenure Minimum Criteria

#### A. Academic Excellence

- a. The basic criteria and standards of Elizabeth City State University reflect a commitment to academic excellence. It is the expectation that faculty members shall meet the highest standards of their discipline within the domains of teaching, scholarship and service, in addition to their contractual obligations.
- b. All candidates for tenure or promotion are to demonstrate their effectiveness as teachers and scholars, and that they have advanced knowledge or creativity in their respective disciplines or have made significant creative contributions in their academic areas. This should be substantiated by appropriate publications, presentations and other works.

- c. Service should involve contributions to departmental efforts, campus-wide activities, off-campus professional, state, national and community organizations or community at large, including active involvement and leadership in philanthropic roles.

## B. University Policies

The candidates from all departments applying for promotion and tenure must follow the university policies with respect to the eligibility such as discipline/program specific credentials that may include terminal degree or equivalent, successful completion of other eligibility requirements as outlined in this policy. The purpose of the promotion or tenure application is to assess the individual's achievements since appointment or in the present rank, as well as estimate his/her future achievements. It is awarded on the basis of demonstrated ethical behavior, collegiality, scholarship in teaching, research/ creative work, and service to date that contributes to the institution and the community. A successful applicant should demonstrate commitment to serve as per the mission statement of the institution, and implies a high degree of confidence in the continuation and enhancement of this performance for the benefit of the University.

## C. Promotion and/or Tenure Application Portfolio Requirements

### a. PORTFOLIO BINDER

To apply for promotion and/tenure, the eligible applicant is recommended to submit the documents as a record of performance supporting the information in curriculum vitae in a three ring binder with thickness no more than five (5) inches with properly arranged section and sub-section tabs.

### b. PORTFOLIO CONTENTS – 100 points

The portfolio format is flexible for content in various categories that can be tailored to specific disciplines. The weight for teaching does not reflect the time or effort in teaching but the excellence in teaching. It is irrespective of the number of credit hours or courses taught depending on other/administrative responsibilities. For Research/Creative Works, Service and Faculty Development categories, the weights may vary for tenure and promotion to different ranks. The variety of activities is not as important as the impact of various activities and leadership in activities. Some activities may have impact on more than one category. The candidates are advised to include narratives for each portfolio category to explain the impact and credibility of the activities that all of the reviewers may not be aware. Also, in the case of missing documents in portfolio, the candidate should submit appropriate explanations.

1. Content and Display - up to a maximum of 5 points
2. Annual Evaluations by the Chairperson - up to a maximum of 5 points
3. Letters of Reference - up to a maximum of 5 points
4. Main Portfolio Content – up to a maximum of 85 points
  - a. Teaching - (up to a maximum of 48 points);
  - b. Research /creative works (up to a maximum of 16 points);

- c. Service (up to a maximum of 16 points); and
- d. Professional development (up to a maximum of 5 points).

#### D. Explanation of Evaluation Criteria and Point Scale

Each academic department should use the suggested point system for significant contributions to various activities and develop an exhaustive list of activities associated with different faculty evaluation categories that should be mutually agreed upon by the department faculty and the department chair. Such instrument is subject to approval by the DPTC, the AA&PC (Academic Administrative and Planning Council) and the Provost. Any activity not listed in this document and departmental instrument for which the faculty member wishes to receive points must be approved first by the DPTC and the Provost and Vice Chancellor for Academic Affairs.

##### 1. Portfolio Presentation – up to a maximum of 5 points

The presentation of documents in the portfolio for the convenience of the reviewers is an important factor. The committees, upon consensus of the members, can decline the review of unorganized portfolios submitted for promotion or tenure. The candidates will use their discretion to include the documents that are necessary and important for review in the proper format.

##### 2. Annual Evaluations by the Department Chair – up to a maximum of 5 points

Annual evaluations by the department chair give an idea of candidate's constant commitment to grow and serve the institution

##### 3. Letters of Reference – up to a maximum of 5 points

Reference letters may be solicited from colleagues, students, university alumni and other individuals who can elaborate on candidate's scholarship in teaching, research, and service. The candidate should solicit letters of reference from colleagues (preferably of same or higher rank as of applicant) from the department, university-wide and other institutions. A suggested point scale is one (1) point per letter of reference.

##### 4. Ethical Behavior and Communication Skills – Acceptable or Unacceptable

Ethical behavior of an individual in any setting is an essential element in productivity. Higher education faculty members are obligated to observe high ethical and professional standards in teaching, research and scholarship in addition to basic moral values, as they are the face of the institution and role models for students. Academic integrity is the foundation for excellence. Autonomy, non-maleficence, beneficence, justice, fidelity, veracity, affiliation, compliance and collegiality are some of the indicators of professional ethics. Scholars as teachers, researchers and service members should possess effective oral and written communication skills that enable

them to convert knowledge into language that an audience in the classroom, research laboratory, or field site and beyond can understand. Teachers' communication skills affect their expectations from their students in addition to being role models. The measurement of ethical behavior and communication skills may have a more subjective observation, but it needs a special place in faculty reviews. In the peer review process, departmental and university colleagues may consider individual faculty member's ethical concerns in conjunction with letters of recommendation, the requested letter for promotion and/ or tenure, narratives written by the applicant and other material presented in the portfolio.

E. Teaching Effectiveness - up to a maximum of 48 points

The evaluation of teaching performance is most important in the process of promotion and tenure review. Performance in teaching will count for 48 points of a candidate's overall evaluation for promotion and tenure. A suggested point scale and the supporting evidence of documents that are relevant to evaluate teaching performance may include the following criteria:

1. Candidate's statement analyzing teaching = 1 to 2 points;
2. Course assignments = 1 to 2 points (aggregate);
3. Syllabus preparations = 1 to 5 points (aggregate);
4. Innovative use of instructional technology = 2 to 3 points;
5. Curriculum development = 2 to 4 points (composite);
6. Advisement = 1 to 5 points;
7. Student Evaluations = 5 to 10 points;
8. Peer Evaluations = 5 to 10 points;
9. Teaching awards or nominations = 1 to 2 points;
10. Classroom management and conflict resolution = 2 to 3 points;
11. Other relevant evaluative documents and observations = 1 to 2 points.

F. Research and Creative Works/Activities – up to a maximum of 16 points

Research is an integral part of academic excellence and scholarship. The candidates applying for promotion and tenure are expected to show records of an active and continuing research agenda. Performance in research and creative activities will count for up to 16 points of a candidate's overall evaluation for promotion and tenure depending on the rank. A suggested point scale and the supporting evidence of documents that are relevant to evaluate research and creative activities may include the following criteria:

1. Creative work (concerts, exhibitions, artistic works, etc.) = 1 to 5 points (depending on the scholarship rating such as peer reviewed, size of audience);
2. Monographs, in-house publications, and published proceedings = 1 to 2 points each;
3. Articles in professional field non-refereed journals = 1 to 3 points each;
4. Articles in refereed journals = 3 to 5 points each; Poetry, fiction, and/or essays in literary magazines and journals = 1 to 5 points;
5. Plays or musical compositions in public performance or publications = 1 to 5 points;



6. Grant proposals submitted but not funded = 1 to 2 points each based on the candidate's role, category and amount of the grant;
7. Grant proposals submitted and funded = 1 to 5 points each based on candidate's role, category and amount of the grant;
8. (non-refereed) Books published = 2 to 4 points each;
9. (refereed) Books published = 5 to 10 points each;
10. Referee/review books, articles, grant proposals, etc. = 1 to 2 points each;
11. Paper presentation and scholarly speeches = 1 to 3 points each;
12. Published case studies = 1 to 3 points each;
13. Published student/course manuals or computer software for educational purposes = 1 to 3 points each;
14. Direct/conduct workshops, symposia, seminars, and colloquia = 1 to 3 points each.

G. University, Professional, and Community Service - up to a maximum of 16 points

The candidates applying for promotion and tenure are required to document their engagement and contributions to professional and community services. Contributions to university, professional, and community service will count for up to 16 points of a candidate's overall evaluation for promotion or tenure depending on rank. A suggested point scale and the supporting evidence of documents that are relevant to evaluate university, professional, and community service may include the following criteria:

1. Contributions to service for Student Activities and Programs (The number of points assigned should be based upon the quantity and quality of advisement given.)
  - Advisor to students = 1 to 4 points per year;
  - Advisor to student organizations = up to 2 points for each.
2. Contributions to service on University Committees (The number of points assigned should be based upon the time, effort and quality of participation as indicated in personal narrative and endorsed by committee chairs or other associated individuals. In special cases, recommendations may be made for higher points.)
  - (a) Serve on active Departmental/School committees (member) = up to 1 point each per year;
  - (b) Serve on active Departmental/School committees (chair) = up to 2 points each per year;
  - (c) Serve on active autonomous or other University committees (member) = up to 1 point each per year;
  - (d) Serve on active autonomous or other University committees (chair) = up to 2 points each per year;
  - (e) Serve actively on special University projects (SACS, SDPI, NCATE, IRB etc.) (member) = up to 2 points each;
  - (f) Serve actively on special University projects (Chair or sub-committee chair) = up to 4 points each;
  - (g) Serve actively on Faculty Senate = up to 1 point per year;
  - (h) Serve actively as Faculty Senate chair and/ or secretary = up to 2 points per year;

- (i) Serve actively on Faculty Senate vice-chair and/or parliamentarian = up to 1 point per year;
  - (j) Serve actively on Faculty Senate standing committees (member) = up to 1 point each per year;
  - (k) Serve actively on Faculty Senate standing committees (chair) = up to 2 points each per year;
  - (l) Serve actively on ad hoc committees (member) = up to 1 point each per year;
  - (m) Serve actively on ad hoc committees (chair) = up to 2 points each per year.
3. Contributions to Department, School, and University Administration service.
- (a) Serve as department Area Coordinator = up to 2 points per year;
  - (b) Serve as Director of a program = up to 2 points per year;
  - (c) Direct special projects and/or perform special services within the department, School, and University = up to 2 points.
4. Contributions to Programs that Bring Positive Recognitions by University Clientele
- (a) Direct/conduct workshops, special projects, etc. on departmental, School, or University levels for the Community = up to 2 points;
  - (b) Participate in community related activities (school and/ or community organizations, etc.) = up to 2 points per year;
  - (c) Serve actively on city council, county board of commissioners, board of education, state legislature, etc. = up to 1 point per year;
  - (d) Serve actively on Faculty Assembly Executive Team = up to 3 point per year;
  - (e) Serve actively as Faculty Assembly Delegate = up to 2 points per year;
  - (f) Serve actively as alternate to Faculty Assembly = up to 1 point per year.

H. Professional Development - up to a maximum of 5 points

Professional development for higher education faculty is an essential element of institutional effectiveness, student engagement, motivation and student learning. It includes all types of facilitated learning opportunities, including credentials such as academic degrees to formal coursework, conferences, workshops and seminars that help in keeping up with the advances and research in discipline, and new techniques for effective teaching and learning. Professional development is a continuous career long pursuit that keeps us alive and active in the profession. At different stages of faculty development, the time devoted to such activities varies. Thus, the recommended weight for professional development activities for promotion to different ranks and tenure also varies. A suggested point scale is one (1) point per professional development activity. The professional development activity and supporting evidence of documents that are relevant to evaluate professional development activities may include the following criteria:

1. Candidate's statement/narrative analyzing professional development;
2. Professional conferences;
3. Scholarly meetings;

4. Seminars;
5. Workshops;
6. Webinars;
7. Online trainings; or
8. Coursework.

I. Tenure

The selected weights for research/creative works, professional/community service and professional development should reflect the averages of the individual faculty members over the range of years being considered for promotion and/or tenure. An applicant must receive a balanced score of at least 90 percent of the total points in all the categories separately and an overall average of at least 90 points (satisfactory) total to be recommended favorably for tenure.

J. Promotion from Assistant to Associate Professor

An applicant seeking promotion from Assistant Professor to Associate Professor must receive eighty-five (85) percent of the total points in two of the three evaluative categories, research/creative works, professional/community service and professional development, and at least eighty (80) percent of the total points in the third category with an aggregate score of eighty-five (85) percent to be recommended favorably for promotion from assistant to associate professor.

K. Promotion from Associate to Full Professor

The selected weights for research/creative works, professional/community service and professional development should reflect the averages of the individual faculty members over the range of years being considered for promotion. Considering three major categories of scholarship (teaching, research/creative works and service), an applicant must receive ninety (90) percent of the total points in all the three categories with an aggregate score of at least ninety (90) points to be favorably recommended for promotion from associate to full professor.