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7 (Updated to reflect Committee Actions up to 20140402)
8

9 **EDITED**

10 **as of January 13, 2016**

11 [Strike-through REMOVED in this version.

12 Underlined = language that the Faculty Governance committee recommends be added.]

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14
15 Tenure and Promotion

16 Policies and Procedures of East Carolina University

17
18 Prologue

19
20 Academic freedom, the set of norms and values that protects a faculty member's freedom of in-
21 tellectual expression and inquiry, is essential to the achievement of knowledge and understanding.
22 East Carolina University supports academic freedom of inquiry, discourse, teaching, scholarship
23 (research, creative activity/innovation, engagement and/or outreach), and publication for all fac-
24 ulty members. See *Part V, Academic Freedom*, of the *East Carolina University Faculty Manual*. East
25 Carolina University shall not penalize or discipline faculty members because of the exercise of
26 academic freedom in the lawful pursuit of their respective areas of scholarly and professional in-
27 terest and responsibility.

28
29 With respect to personnel matters relating to Part IX of the *East Carolina University Faculty Manual*,
30 academic units are defined as departments described in the unit codes of professional colleges and
31 schools, the departments in the College of Arts and Sciences, professional colleges and schools
32 without departments, Academic Library Services, Health Sciences Library, and any other units in
33 which faculty appointments are made. In the College of Arts and Sciences and in professional col-
34 leges and schools whose unit codes describe departmental structures, departmental chairs are the
35 unit administrators. In schools that do not have departments described in their unit codes, the
36 dean of the school is the unit administrator.
37

38 I. Tenure

39 Academic tenure serves to insure academic freedom by guarding faculty members against
40 negative consequences of expressing unpopular points of view. Academic tenure refers to
41 the conditions and guarantees that apply to a faculty member's professional employment.
42 Tenure resides in the University. Tenure protects a faculty member against involuntary
43 suspension or discharge from employment or reduction in rank except upon specified
44 grounds and in accordance with the procedures provided in Part IX, Section I (VI.) or
45 against termination of employment except as provided for in Part IX, Section I (VII.).
46 During the term of such guarantees, the faculty member may be discharged or suspended
47 from employment or diminished in rank only for reasons of incompetence, neglect of du-

48 ty, misconduct of such a nature as to indicate that the individual is unfit to continue as a
49 member of the faculty, or demonstrable, bona fide institutional financial exigency or major
50 curtailment or elimination of a teaching, scholarship, or public service program as detailed
51 in Part IX, Section I (VII.A.1.) and (VII.A.2.) (Faculty Senate Resolution #03-44).
52

53 A. Tenure While Under Contract to East Carolina University

54 A faculty member who does not have permanent tenure has the protection of tenure
55 until the expiration of the faculty member's employment contract.
56

57 B. Permanent Tenure

58 1. Permanent tenure may be conferred only by action of the Board of Trustees of East
59 Carolina University and is always held with reference to employment by East Carolina
60 University rather than to employment by The University of North Carolina. The con-
61 ferral of permanent tenure is allowed only as the result of the processes enunciated in
62 this document.
63

64 2. Conferral of permanent tenure shall be based on the faculty member's demonstrated
65 professional competence in teaching, scholarship, professional conduct (Part V, Sec-
66 tion II), clinical practice (as appropriate), and service; a potential for future contribu-
67 tions; and the institution's needs and resources. ~~While teaching is the first considera-~~
68 ~~tion, the faculty member must meet unit expectations in all other areas, as appropriate,~~
69 ~~neither teaching nor scholarship nor professional conduct, nor clinical practice (as~~
70 ~~appropriate) nor service is the sole measure of a faculty member's competence and~~
71 ~~contribution. No assistant professor shall be awarded permanent tenure unless con-~~
72 ~~currently promoted to associate professor.~~
73

74 II. Faculty Appointments

75 A. General Provisions

76 1. Categories of Appointments

77 There are three kinds of faculty appointments:

78 (a) Fixed-Term Appointments [cf. Special Faculty Appointments, the UNC Code, 610
79 and ECU *Faculty Manual*, Part VIII]. Fixed-term appointees do not hold professori-
80 al ranks and are appointed with titles as listed in Part VIII of the *Faculty Manual*.

81 ~~Fixed-term faculty members may be paid or unpaid, per the letter of appointment.~~

82 Fixed-term appointments are without permanent tenure and do not entitle the fac-
83 ulty member to consideration for reappointment or conferral of permanent tenure.

84 The term of appointment of any paid special faculty member concludes at the end
85 of the specified period set forth in the letter of appointment, and the letter of ap-
86 pointment constitutes full and timely notice that a new term will not be granted

87 when that term expires. Except as specified in subsection II.B.1, no obligation ex-
88 ists on the part of East Carolina University to give any notice before a current
89 fixed-term appointment expires as to whether a new appointment will be granted
90 at the end of a specified fixed term.
91

92 (b) Probationary Appointments and Reappointments. Probationary appointments are
93 made at the professorial ranks of assistant professor, associate professor, or pro-
94 fessor. Probationary appointees are entitled to reappointment reviews and, if re-
95 appointed throughout the probationary period, are entitled to a tenure review.

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The timing of these reviews is explained below and in Part X of the *Faculty Manual*.

- (c) Appointments with Permanent Tenure. Appointments with permanent tenure are continuous until retirement, resignation, or removal according to the provisions of Part IX, Section I (VI or VII) of this document. Appointments with permanent tenure may be made at the professorial ranks of associate professor or professor. No assistant professor shall be awarded permanent tenure unless concurrently promoted to associate professor.
- (d) Unpaid adjunct and affiliate faculty members are not covered by provisions in Part IX.

2. Criteria for Initial Appointment and Reappointment

All appointments, including fixed-term appointments, and all reappointments of candidates to probationary-term positions shall be based on assessments of candidates' demonstrated professional competence (Part X, Section II), potential for future contributions, and the institution's needs and resources.

3. Terms and Conditions for Appointment and Reappointment

The Chancellor or the Chancellor's designee¹ shall set out in writing, with a copy to the faculty member, the terms and the conditions of each appointment, including fixed-term appointments, and each reappointment. The terms shall incorporate by reference appropriate sections of the *Faculty Manual* and shall state any conditions placed on the appointment or reappointment. The responsibility for initiating the inclusion of special terms and conditions in documents of appointment is with the unit administrator. Prior to the initial appointment, the unit administrator shall provide a copy of the unit's criteria for evaluating faculty performance contained in the unit code [as specified in Part VIII, Section I.III] to persons offered a faculty appointment in the unit. Criteria for evaluating faculty performance contained in the unit code shall be discussed by the unit administrator in a Fall Criteria Review meeting with each fixed-term and probationary-term faculty member at the beginning of the first term of employment and at the beginning of each academic year thereafter. A summary of this discussion shall be placed in the faculty member's personnel file. The responsibility for calling this meeting is with the unit administrator.

Notice of reappointment or non-reappointment to probationary-term faculty members shall be written. The non-reappointment decision shall not be based upon: (1) the faculty member's exercise of rights guaranteed by either the First Amendment to the United States Constitution or Article I of the North Carolina Constitution; (2) discrimination based upon the faculty member's race, color, national origin, creed, religion, veteran's status, gender, age, sexual orientation, political affiliation, disability, or any other protected class as defined by established university policy; or (3) personal malice (Faculty Senate Resolution #03-37).

4. Continued Availability of Special Funding

¹ ~~References to the~~ The Chancellor's designee shall include and be limited to the Vice Chancellor for Academic Affairs and the Vice Chancellor for Health Sciences.

Comment [MD1]: This needs to go into the schedule in Part X. Based on 400.3.1.1[G], this meeting does not take place for fixed-term faculty.

140 The appointment or reappointment of a faculty member to a position funded in
141 whole or in substantial part from sources other than continuing state budget funds or
142 permanent trust funds shall specify in writing that continuance of the faculty mem-
143 ber's services, whether for a specified term or for permanent tenure, shall be contin-
144 gent upon continuing availability of such funds. Exceptions to the foregoing contin-
145 gency requirement are:

146 (a) That such a contingency shall not be included in a promotion to a higher
147 rank if, before the effective date of that promotion, the faculty member had
148 permanent tenure and no such condition is attached to the tenure.

149
150 (b) That such a contingency shall not be attached to the faculty member's con-
151 tract if the faculty member held permanent tenure in East Carolina University on
152 July 1, 1975, and the contract was not contingent upon the continuing availability
153 of sources than continuing state budget or permanent trust funds.

154
155 (c) That such a contingency may be waived for health affairs faculties because of
156 the unusual dependence of programs in the health professions on income from
157 sources such as clinical receipts.

158 5. Special Employment Arrangements

159 The University may permit, at the discretion of the Provost and Senior Vice Chancellor for
160 Academic Affairs or the Senior Vice Chancellor for Health Sciences, special employment
161 arrangements for probationary term or tenured faculty members. Such arrangements may
162 result in modifications in benefits.

163
164 If a special employment arrangement involving funding sources other than the Univer-
165 sity is deemed by the Unit Administrator to be necessary and in the best interests of the
166 Unit and the University, the request for the modified work schedule shall be made in
167 writing to the Provost and Senior Vice Chancellor for Academic Affairs or the Senior
168 Vice Chancellor for Health Sciences. The memo making this request should include
169 specific reasons for seeking the modified work schedule and adequate assurances by the
170 Unit Administrator that this arrangement is compatible with the faculty member fully
171 achieving all of the duties and responsibilities appropriate for someone of the proposed
172 rank and status.

173 6. Notice of Resignation

174
175 A fixed-term or probationary-term faculty member should provide the unit adminis-
176 trator with 90 days advance notice, in writing, of resignation from employment. A
177 permanently tenured faculty member should provide the unit administrator with 120
178 days advance notice in writing of resignation from employment. In no case should a
179 resignation occur in mid-semester.

180 B. Fixed-Term Appointments [cf. Special Faculty Appointments, The UNC Code, 610]

181 1. Contract and Notice:

182 Fixed-term faculty members are appointed for a specified term of service, as set out in
183 writing in the letter of appointment. The term of appointment concludes at the end of
184 the specified period set forth in the letter of appointment, and the letter of appoint-
185 ment constitutes full and timely notice that a new term will not be granted when that
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187

188 term expires. A letter of appointment for a fixed-term faculty member sets forth in
189 writing the beginning and ending dates of the term, the type of appointment and the
190 pay status (i.e., paid or unpaid). Whenever possible, multi-year contracts, of up to five
191 years, will be offered to fixed-term faculty members who have demonstrated their ef-
192 fectiveness and contributions and/or who have outstanding credentials. At the end of
193 the appointment term, a fixed-term faculty member may request consideration of a
194 new appointment. A fixed-term faculty member desiring a new appointment shall, no
195 later than 75 calendar days before the current term expires, provide the unit adminis-
196 trator with a written request for a new appointment, and the unit administrator shall so
197 notify the chair of the unit Personnel Committee. No later than 45 calendar days be-
198 fore the end of the current term, the Personnel Committee and the unit administrator
199 shall notify the faculty member in writing of their respective recommendations; any
200 recommendation is subject to the availability of the position, funding, administrative
201 approval, and continued effective performance. Fixed-term faculty members are not
202 covered by Section 604 of the University Code, and that section does not accord them
203 rights to additional review of a decision by a constituent institution not to grant a new
204 appointment at the end of a specified fixed term. During the term of their employ-
205 ment, fixed-term faculty members are entitled to seek recourse under Section 607 of
206 the University Code (relating to faculty grievances).

207
208 A faculty member who does not have permanent tenure has the protection of
209 tenure until the expiration of the faculty member's employment contract.

210
211 2. Fixed-Term Employment Evaluation Policy [cf. Special Faculty Appointments, The
212 UNC Code, 610]:

213 Faculty members employed for a fixed-term shall be evaluated annually in accordance
214 with the provisions of the letter of appointment. A fixed-term faculty member should
215 submit a portfolio to the Personnel Committee and the unit administrator prior to the
216 unit administrator and the Personnel Committee considering a new appointment. The
217 portfolio should contain information that demonstrates the effectiveness of the fixed-
218 term faculty member in fulfilling the responsibilities specified in the letter of ap-
219 pointment. The specific contents of the portfolio shall be determined by the unit code
220 (see subsection IV.A.1.).

221
222 3. Advancement in Title:

223 Initial recommendations for advancement in title for faculty members holding fixed-
224 term appointments are the responsibility of the Unit Personnel Committee (see sub-
225 section IV. A.1.).

226
227 4. Terms and Conditions for Appointment:

228 The Chancellor or the Chancellor's designee² shall set out in writing to the fixed-term
229 faculty member the terms and the conditions of each appointment. The terms shall in-
230 corporate by reference appropriate sections of the *Faculty Manual* and shall state any
231 conditions placed on the appointment. The responsibility for initiating the inclusion of

² ~~References to the~~ The Chancellor's designee shall include and be limited to the Vice Chancellor for Academic Affairs and the Vice Chancellor for Health Sciences.

232 special terms and conditions in documents of appointment is with the unit administra-
233 tor. Prior to initial or subsequent appointment, the unit administrator shall provide a
234 copy of the unit's criteria for evaluating faculty performance contained in the unit code
235 [as specified in Part VIII, Section I.III] to persons offered a fixed-term faculty appoint-
236 ment in the unit. Criteria for evaluating faculty performance contained in the unit code
237 shall be discussed by the unit administrator in a meeting with each fixed-term faculty
238 member at the beginning of the appointment term. A summary of this discussion shall
239 be placed in the faculty member's personnel file. The responsibility for calling this meet-
240 ing is with the unit administrator.

241
242 5. Portfolio for subsequent appointment and/or advancement in title of fixed-term faculty
243 members:

244 All documents pertaining to subsequent appointments for fixed-term faculty members
245 shall be collected and maintained in accordance with the applicable unit code, as de-
246 scribed in subsection II.B.2 above.

247
248 6. New or Subsequent Appointments:

249 In the case of recommendations for new appointments or subsequent appointments of
250 faculty members currently holding fixed-term appointments, each member of the unit
251 Personnel Committee will indicate by secret ballot his or her choice for or against the
252 recommendation.

253
254 7. Notice of Resignation:

255 A fixed-term faculty member with a multi-year appointment may resign at the end of an
256 academic term with 90 days advance notice in writing. In no case, should a faculty
257 member resign with an effective date between the beginning and ending dates of an ac-
258 ademic term.

259
260 8. Procedure for Concurring and Non-concurring Recommendations:

261 All concurring and non-concurring unit committee recommendations and unit admini-
262 strator recommendations regarding fixed-term employment are forwarded through
263 each administrative level until reaching the appropriate vice chancellor. If the recom-
264 mendations for a new fixed-term faculty appointment, subsequent appointment, or
265 advancement in title of a unit administrator and the unit Personnel Committee disa-
266 gree, the unit administrator shall discuss the potential non-concurrence at the unit
267 committee level before forwarding the committee's recommendation and his or her
268 concurrence or non-concurrence to the next higher administrator.

269
270 After the appropriate committee and the unit administrator transmit their recom-
271 mendations to the next higher administrator, that administrator performs their own
272 review, reaching a decision to either concur or not concur. The recommendation is
273 forwarded to the next highest administrator along with the recommendations from
274 the committee and the unit administrator. The unit administrator and the chair of the
275 relevant committee are notified of the recommendation of the next higher adminis-
276 trator.

277
278 This procedure shall be repeated at each administrative level until the recommenda-
279 tion reaches the appropriate Vice Chancellor. Immediately after the completion of

280 each level of administrative review, the administrator's recommendation shall be
281 communicated to all appropriate lower administrators, the candidate, and the com-
282 mittee of the unit which made the initial recommendation.

283 The Vice Chancellor's decision regarding all fixed-term faculty employment recom-
284 mendations is final.

285
286
287 C. Probationary Appointments

288 Probationary appointments are made at the professorial ranks of assistant professor, as-
289 sociate professor, and professor. Persons appointed as associate professor or professor
290 are eligible for permanent tenure.

291
292 A faculty member appointed to an administrative position is eligible for permanent tenure
293 only as a faculty member in one of the professorial ranks. There is no permanent tenure
294 in an administrative position.

295
296 1. Notice of Reappointment or Non-Reappointment [UNC Code 604].

297 After considering all prior recommendations, the appropriate Vice Chancellor
298 shall decide, early enough to permit timely notice to be given, whether to reappoint
299 or not to reappoint a faculty member at the expiration of a term of service (see Part
300 X.). Notice of reappointment or non-reappointment shall be written.

301
302 Timely Notice: For full-time faculty members at the rank of assistant professor, as-
303 sociate professor, or professor, the minimum requirement for timely notice shall
304 be as follows:

305 (a) During the first year of service at East Carolina University, the faculty mem-
306 ber shall be given not less than 90 calendar days' notice before the employment
307 contract expires.

308
309 (b) During the second year of continuous service at East Carolina University,
310 the faculty member shall be given not less than 180 calendar days' notice before
311 the employment contract expires.

312
313 (c) After two or more years of continuous service at East Carolina University, the
314 faculty member shall be given not less than 12 months' notice before the employ-
315 ment contract expires.

316
317 Failure to give timely notice of non-reappointment will oblige the Chancellor to offer a
318 terminal appointment of one academic year.

319
320 2. Probationary Terms

321 Although the Chancellor may recommend that a faculty member be granted permanent
322 tenure at any time, the faculty member shall be notified not later than twelve months
323 before the end of the probationary period whether the faculty member will be recom-
324 mended for permanent tenure. The normal probationary term for the professorial
325 ranks, as established at the time of initial appointment, shall be as follows:

326
327 Assistant Professor. The maximum probationary term is six years. The faculty

328 member can receive an initial three-year appointment and a maximum of two suc-
329 cessive two-year appointments. No assistant professor will receive reappointment in
330 a probationary term without a terminal degree or appropriate alternate credentials as
331 defined in the unit code. If a faculty member does not receive permanent tenure at
332 the end of his or her sixth year, the faculty member remains employed through the
333 terminal year. During the terminal year, the faculty member may not serve on the
334 unit's Personnel Committee.

336 Associate Professor. The maximum probationary term is four years. The faculty
337 member can receive an initial three-year appointment and a maximum of one two-
338 year appointment. If a faculty member does not receive permanent tenure at the
339 end of his or her fourth year, the faculty member remains employed through the
340 terminal year. During the terminal year, the faculty member may not serve on the
341 unit's Personnel Committee.

343 Professor. The probationary term is two years. The faculty member can receive a
344 single three-year appointment. If a faculty member does not receive permanent ten-
345 ure at the end of his or her second year, the faculty member remains employed
346 through the terminal year. During the terminal year, the faculty member may not
347 serve on the unit's Personnel Committee.

348 All time served in a probationary appointment at East Carolina University must be
349 continuous, excluding any approved leaves of absence.

351 When a faculty member in probationary appointment requests and is awarded promo-
352 tion in rank before the end of the probationary term, the original contractual proba-
353 tionary term shall not be altered.

355 In order to afford the maximum opportunity for tenure, the probationary term for
356 personnel hired at the professorial ranks, whose contract date occurs earlier than the
357 beginning of the Fall semester (or July 1 for faculty members in the Division of Health
358 Sciences and Academic Library Services), will be measured from the beginning of the
359 subsequent Fall semester (or July 1 for faculty members in the Division of Health Sci-
360 ences and Academic Library Services).

363 3. Reduction of the Normal Probationary Term for Previous Academic Employment

364 Although generally discouraged in favor of petitioning for early tenure (see subsection
365 II.C.6), reduction of the normal probationary term may be granted for previous full-
366 time faculty employment at the time of initial appointment as assistant professor or as-
367 sociate professor. The granting of such a reduction shall require a strong justification
368 and the agreement of the appointee, a simple majority of the unit Personnel Commit-
369 tee, the unit administrator, the dean, and the appropriate Vice Chancellor. The maxi-
370 imum reduction at each professorial rank shall be as follows:

371 (a) For a candidate appointed at the rank of assistant professor, a maximum re-
372 duction of three years is allowed.

373 (b) For a candidate appointed at the rank of associate professor, a maximum re-
374 duction of two years is allowed.

376
377 (c) For a candidate appointed at the rank of professor, no reduction is allowed.
378

379 4. Extensions of the Probationary Term

380 Extensions of the probationary term must be requested by the faculty member and
381 shall be granted only in cases of severe personal exigency or other compelling personal
382 circumstances; such extensions shall be limited to a total of no more than two years.
383 Probationary-term faculty members who have received paid leave under the Faculty Se-
384 rious Illness and Parental Leave Policy shall receive an extension of the probationary
385 term, if requested. The probationary term may be extended in increments of one or
386 more academic years: one year for leaves of one or two semesters, two years for leaves
387 of three or four semesters. A probationary-term faculty member who assumes a full-
388 time administrative position or clinical position for one or more semesters may be
389 granted extensions of the length of the probationary term; such extensions shall be
390 limited to a total of no more than three years. All such extensions must be requested in
391 writing by the faculty member, reviewed by the unit Personnel Committee, the unit
392 administrator, the dean, and the appropriate Vice Chancellor, and approved by the
393 Chancellor or the Chancellor's designee. Extensions of the probationary term must be
394 expressly stated in appointment or reappointment documents or added by a written
395 memorandum of amendment by the appropriate Vice Chancellor during the term of an
396 appointment.

397
398 5. **Progress Toward Tenure Letters** (change cumulative reviews to progress towards tenure
399 letters)

400 In all years except the year prior to the year in which a faculty member's mandatory
401 tenure decision is considered, the Tenure Committee will annually meet with the unit
402 administrator to review the record of a candidate's progress toward tenure and write a
403 cumulative review. This meeting should occur after the deadline for faculty members to
404 receive their annual evaluations and prior to end of the spring semester. One week pri-
405 or to the meeting, the unit administrator will provide the Tenure Committee with the
406 candidate's current annual report, copies of the candidate's previous annual evaluations
407 and previous progress toward tenure letters, and a draft of the cumulative review of
408 progress towards tenure written by the unit administrator. Any additional required ma-
409 terials must be defined in the unit's code.

410
411 These cumulative reviews of progress toward tenure letters will address the candidate's
412 cumulative accomplishments to date. Successes and areas for improvement shall be de-
413 scribed within the context unit's ongoing expectations of the candidate in the unit's cri-
414 teria for promotion and tenure. The letter shall include evaluative and formative lan-
415 guage; the letter shall not include an overall summative rating, such as "very good" or
416 "unsatisfactory" progress towards tenure. Deliberations may address any of the candi-
417 date's assigned duties and professional conduct (Part V, Section II).

418
419 In order to protect the candidate's due process rights, the review will address miscon-
420 duct only if the misconduct is documented in the faculty member's personnel file and
421 the faculty member's due-process rights were respected (including the right to appeal a
422 finding or sanction to the relevant committee and the right to include in the personnel
423 file a letter expressing disagreement with a finding). Should an alleged case of miscon-

424 duct be too recent for the candidate to appeal the university's charge or finding of mis-
425 conduct, the committee's review may be suspended with the approval of the Chancellor
426 until such time as determined by the Chancellor.

427
428 The chair of the Tenure Committee will meet with the unit administrator and the can-
429 didate to discuss in a formative manner the outcome of the progress towards tenure
430 review carried out by the Tenure Committee and the unit administrator, with suggested
431 areas of improvement. This meeting shall be documented in writing by the unit admin-
432 istrator, and that document shall be placed in the personnel file. In the event that the
433 faculty member disagrees with the substance of the cumulative review, it is the respon-
434 sibility of the faculty member to make this disagreement known in writing, in a letter
435 addressed to the unit administrator. This letter will be placed in the faculty member's
436 personnel file, and copies will be sent to the unit Tenure Committee and to the next
437 higher administrator (see subsection IV.D.3.).

438
439 The timeline for completion of cumulative reviews of progress toward tenure is con-
440 tained in the *Faculty Manual, Part X*.

441
442 6. Request for Early Permanent Tenure

443 According to the timeline in the *Faculty Manual, Part X*, a faculty member who has not
444 completed the probationary term (see subsection II.C.1-3) and who requests in writ-
445 ing that consideration be given to conferral of permanent tenure will be considered
446 for permanent tenure during the fall semester of the next academic year.³ ~~No assistant~~
447 professor shall be awarded permanent tenure unless concurrently promoted to associ-
448 ate professor. When a faculty member holding the rank of assistant professor requests
449 consideration for early tenure, this request also constitutes a request for consideration
450 for promotion to associate professor.

451 D. Initial Appointment with Permanent Tenure

452 A faculty member whose initial appointment is to a professorial rank with permanent ten-
453 ure shall be regarded as having permanent tenure until retirement, resignation, or removal
454 according to the provisions of subsections VI or VII of Part IX.

455
456
457 E. Joint Appointments

458 An ECU faculty member may hold only one tenured or probationary appointment at prof-
459 essorial rank. This may be in a single academic code unit or by joint appointment when
460 holding responsibilities in more than one such unit. Joint appointments may be made within
461 a single code unit (such as between departments in a School or College), or they may also
462 be made in which the appointee holds tenured or probationary professorial rank in an ac-
463 ademic code unit and a non-probationary contractual or academically titled position in an-
464 other entity within the University not organized as an academic code unit in the manner de-

³ When a faculty member applies for and then withdraws a request for early consideration for permanent tenure, a copy of all documents submitted to support the request and a record of all decisions by the appropriate committee and any administrator(s) shall be directly forwarded to the appropriate Vice Chancellor. A faculty member who applies for but is not granted early tenure remains on the original probationary timetable for a final tenure decision.

465 scribed in the *ECU Faculty Manual*, Part IV, hereinafter referred to as an “entity.” Such enti-
466 ties are usually, but not exclusively, identified as a School, Center, Institute, or Program.
467 One academic code unit must be designated primary, with greater than 50% of all adminis-
468 trative and academic responsibilities for the position. Only academic code units, as defined
469 in Part IV, Section I of the *ECU Faculty Manual*, can be the primary unit for a joint ap-
470 pointment. The designation of the primary unit and the secondary unit or entity must be
471 made when the appointment is created, and may be changed only with the written agree-
472 ment of the faculty member, the relevant personnel, tenure, and committees of the primary
473 unit, as applicable, the relevant personnel, tenure, and committees of the secondary unit or
474 entity, and the relevant administrators.

475
476 Letters of appointment for faculty members in joint appointments to two academic code
477 units must clearly state the criteria for reappointment, promotion, and tenure contained in
478 the unit codes of both units, and the roles of the faculty member and all appropriate com-
479 mittees and administrators in personnel actions.

480
481 Letters of appointment for faculty members in joint appointments to an academic code unit
482 and a University entity must clearly identify the criteria for reappointment, promotion, and
483 tenure contained in the unit code of the primary unit, the criteria that the relevant standing
484 committee or administrator of the entity will use in evaluating the professional performance
485 of the faculty member, and the roles of the faculty member and all appropriate committees
486 and administrators in personnel actions.

487
488 Probationary faculty members in appointments jointly held between academic code units
489 will be reviewed for reappointment, promotion, or tenure by both units, although only
490 members of the applicable committees of the primary unit are allowed to vote and recom-
491 mend the personnel action sought. All review materials are to be fully shared between the
492 units. Although one unit will be primary, review by the secondary unit is also considered
493 important. In the absence of specific policies and procedures clearly enunciated in the *Unit*
494 *Code of Operation* of either or both units, the review by the secondary unit will be transmitted
495 by written memorandum from the chair of the relevant personnel committee of the sec-
496 ondary unit with concurrence or non-concurrence of the administrator of the secondary
497 unit to the chair of the relevant personnel committee and to the administrator of the prima-
498 ry unit. Faculty members holding joint appointments of this type are subject to a special
499 schedule described in the *ECU Faculty Manual* Part X, Section II to allow the secondary unit
500 reasonable time to review the faculty member’s Personnel Action Dossier, or other relevant
501 documentation pertaining to the personnel action sought, prior to the review by the primary
502 unit.

503
504 Probationary faculty members in appointments jointly held between an academic code unit
505 and an entity will be reviewed and recommended for reappointment, promotion, or tenure
506 only by the primary unit. All review materials are to be fully shared between the unit and the
507 entity. Although the academic unit carries all responsibilities for personnel decisions, review
508 by the entity is also considered important. In the absence of specific policies and proce-
509 dures clearly enunciated in the *Unit Code of Operation* of the primary unit, the results of the
510 review by the entity will be transmitted by written memorandum from the chair of a stand-
511 ing committee of the entity authorized to review personnel matters, with concurrence or
512 non-concurrence of the entity administrator to the chair of the relevant personnel commit-

tee and to the administrator of the primary unit. Absent such committee in the secondary unit, the entity administrator will be responsible for transmitting the results of his or her review by written memorandum to the chair of the relevant personnel committee and to the administrator of the primary unit. Faculty members holding joint appointments of this type are subject to a special schedule described in the *ECU Faculty Manual* Part X, Section II to allow the entity reasonable time to review the faculty member's Personnel Action Dossier, or other relevant documentation pertaining to the personnel action sought, prior to the review by the primary unit.

III. Promotion

Persons holding the professorial rank of assistant professor or associate professor may be considered for promotion to the next professorial rank. Promotion shall be based on the faculty member's demonstrated professional competence and achievements. See *Part VIII, Personnel Policies and Procedures for the Faculty of ECU*. Promotion is governed by the policies and procedures set forth in subsection IV. In evaluating a candidate for promotion, all of the candidate's teaching, scholarship, service, and other professional activity shall count, but activity since the last promotion at ECU shall carry a greater weight than activity prior to the last promotion. Additional criteria for promotion may be contained in each unit's code. A faculty member who wishes to be considered for promotion to the next professorial rank shall write a letter requesting promotion in rank to her or his unit administrator by the deadline stated in Part X of the *Faculty Manual*. When a request is received by the deadline, the unit administrator shall notify the chair of the unit Promotion Committee. The chair of the unit Promotion Committee shall facilitate the procedure for considering the candidate for promotion. The committee's promotion recommendation shall be made during the fall term of the next academic year, in accordance with the timeline stated in Part X of the *Faculty Manual*.⁴

IV. Procedures for Initiation, Review, and Approval of Appointments, Reappointments, Promotions, and the Conferral of Permanent Tenure for Probationary-Term Faculty Members (Please refer to *Faculty Manual* Interpretation #106-22.)

Recommendations for faculty appointments, reappointments, promotion, and the conferral of permanent tenure are the responsibility of unit committees and the unit administrator. The timeline for faculty personnel actions is set forth in Part X of the *ECU Faculty Manual*. The evaluation of faculty members for appointment, reappointment, promotion, and the conferral of permanent tenure shall be initiated by the appropriate unit committee on notice from the unit administrator and higher administrative authority. The appropriate unit committee shall evaluate faculty members for promotion and the early conferral of permanent tenure at the request of the faculty member.

The committee's recommendation shall be forwarded to the unit administrator. A committee cannot reconsider a vote on a personnel recommendation after the committee has

⁴ A faculty member considering such action is encouraged to seek consultation with the unit Personnel Committee and the unit administrator. When a faculty member applies for and then withdraws a request for promotion, a copy of all documents submitted to support the request and a record of all decisions by the appropriate committee and any administrator(s) shall be directly forwarded to the appropriate Vice Chancellor.

554 notified the unit administrator of its recommendation. The unit administrator shall forward
555 the committee's recommendation and his or her recommendation to the next higher
556 administrator. If an existing unit, school, or college is reorganized, until such a time as
557 new promotion and tenure criteria are established in an approved unit code, the provisional
558 code shall address the manner in which existing unit code promotion and tenure criteria shall
559 be maintained. The provisional code should ensure that faculty members are evaluated by
560 personnel, tenure, and promotion committees composed of faculty members with the ap-
561 propriate expertise.

562
563 If the faculty member in a probationary appointment does not provide a PAD for reap-
564 pointment, promotion, or conferral of permanent tenure on or before the deadline out-
565 lined in Part X of the ECU *Faculty Manual*, the failure to submit the required PAD will be
566 considered as notice that the faculty member is withdrawing the request for consideration
567 for reappointment, promotion, or conferral of permanent tenure. The Personnel Com-
568 mittee and the unit administrator shall notify the faculty member in writing, with a copy
569 to the next higher administrator, within 30 calendar days of the deadline that failure to
570 submit the required PAD for consideration constitutes withdrawal from consideration.
571 From that time, the faculty member may not serve on the unit's Personnel Committee.

572
573 Confidentiality must be maintained when conducting any substantive business pertain-
574 ing to personnel actions, including but not limited to, initiation, review, conferral of
575 permanent tenure, and approval of appointments, reappointments, and promotions. Be-
576 cause it does not guarantee confidentiality, email should be used with discretion. Formal
577 correspondences relating to any substantive business pertaining to initiation, review,
578 conferral of permanent tenure, and approval of appointments, reappointments, and
579 promotions should be maintained in secure archival form and in accordance with the
580 ECU Records Retention and Disposition Policy and relevant procedures.

581
582 A. Description of voting faculty members:

583 1. Tenure-granting units

584 For the purposes of Part IX, Section I (IV.), voting faculty members are determined by the
585 permanently tenured faculty of the unit using the following criteria; a voting faculty mem-
586 ber of a unit is someone who:

- 587 • holds a full-time faculty position with East Carolina University and a greater than
588 half-time assignment in the unit, and
- 589 • is either a probationary-term (tenure-track) faculty member or a permanently
590 tenured faculty member, and
- 591 • is in at least the twelfth consecutive calendar month of appointment to the faculty of
592 the unit as either a probationary-term (tenure-track) faculty member or a permanently
593 tenured faculty member, and
- 594 • is not a unit administrator or an individual with half or more of his/her workload
595 assigned to administrative duties as determined by the permanently tenured faculty
596 members in consultation with the unit administrator,
- 597 • or normally meets the above conditions and is on non-medical leave of absence from
598 all university duties but is in attendance at the meeting of the appropriate committee at
599 the time of the committee's vote on a personnel action (reappointment, promotion, or
600 tenure recommendation) (Faculty Senate Resolution #03-30). Faculty members on ap-

601 proved medical leave are not permitted to participate in university business during the
602 approved leave.

603
604 2. Non-tenure-granting units and units that are transitioning between tenure-granting and
605 non-tenure-granting faculty structures, such as the libraries
606 For the purposes of Part IX, Section I (IV.), voting faculty members are determined by the
607 established faculty of the unit using the following criteria; a voting faculty member of a unit
608 is someone who:

- 609 • holds a full-time faculty position with East Carolina University and a greater than
610 half-time assignment in the unit, and
- 611 • is in at least the twelfth consecutive calendar month of appointment to the faculty of
612 the unit, and
- 613 • is not a unit administrator or an individual with half or more of his/her workload
614 assigned to administrative duties as determined by the established voting faculty
615 members in consultation with the unit administrator,
- 616 • or normally meets the above conditions and is on non-medical leave of absence from
617 all university duties but is in attendance at the meeting of the appropriate committee at
618 the time of the committee's vote on a personnel action (reappointment, promotion, or
619 tenure recommendation) (Faculty Senate Resolution #03-30). Faculty members on ap-
620 proved medical leave are not permitted to participate in university business during the
621 approved leave.

622
623 Faculty members may not participate in any personnel action involving someone with
624 whom the faculty member has or has had an amorous relationship or to whom the faculty
625 member is related by blood, law, or marriage (as defined in UNC Policy Manual 300.4.2 and
626 300.4.2.1[G]). If a faculty member has other potential conflicts of interest, those should be dis-
627 closed to the committee, and following Roberts Rules of Order, Newly Revised, the committee
628 may vote to deny that faculty member a vote in a particular personnel action.

629
630 A faculty member who is ineligible for participation in the evaluation of a related person
631 does not count for quorum purposes and his/her ineligibility does not constitute a rec-
632 ommendation against the proposed personnel action.

633
634 B. Unit Committees⁵

635 1. Personnel Committee

636 (a) Function

637 The Personnel Committee shall be responsible for making recommendations
638 regarding initial probationary appointments and initial and additional special
639 fixed-term faculty appointments.

640
641 (b) Composition

642 i. Tenure-granting units

643 The composition of each unit's Personnel Committee shall be determined by the

⁵ Except as provided herein, meetings of the committees shall be conducted according to the most recent edition of *Robert's Rules of Order, Newly Revised*.

644 Unit Code but shall consist of at least three members. The membership of the
645 committee shall be composed of some or all of the permanently tenured and pro-
646 bationary-term voting faculty members of the unit, including those who are on
647 non-medical leave but in attendance at the meeting at the time of the committee's
648 vote, but excluding the unit administrator. At least two-thirds of the unit Personnel
649 Committee membership shall be permanently tenured voting faculty members.
650 When there are not enough permanently tenured voting faculty members in the
651 unit to satisfy this requirement, additional permanently tenured faculty members
652 shall be appointed by the next higher administrator. All other members of the unit
653 Personnel Committee shall be elected by the permanently tenured and probation-
654 ary-term voting faculty members of the unit. The chair of the unit Personnel
655 Committee shall be permanently tenured and shall be elected annually by and from
656 the committee's membership.

657
658 ii. Non-tenure-granting units and transitioning units, as defined above
659 In units with faculty structures, such as the libraries, all full-time faculty members
660 in at least the twelfth consecutive calendar month of appointment to the faculty of
661 the unit, shall be eligible to serve on the unit Personnel Committee, and to serve as
662 Chair of the unit Personnel Committee. Members of the unit Personnel Commit-
663 tees of transitioning faculty units are to be elected by the voting faculty of each
664 unit, as defined in Part IX, Section I (IV).

665 Faculty members may not participate in any personnel action involving someone with
666 whom the faculty member has or has had an amorous relationship or to whom the
667 faculty member is related by blood, law, or marriage (as defined in UNC Policy Manual
668 300.4.2 and 300.4.2.1[G]). If a faculty member has other potential conflicts of interest,
669 those should be disclosed to the committee, and following Roberts Rules of Order,
670 Newly Revised, the committee may vote to deny that faculty member a vote in a par-
671 ticular personnel action.

672
673 (c) Additional Roles of Unit Personnel Committee

674 In addition to making recommendations to the unit administrator on initial and
675 additional fixed-term appointments and initial probationary-term appointments,
676 the unit Personnel Committee has the following responsibilities:

- 677 i. Notifying fixed-term faculty members that the Personnel Committee will or
678 will not recommend an additional fixed-term appointment when the fixed-
679 term faculty member requests notification (see II.B.1).
- 680 ii. Making recommendations on requests for reduction in the normal proba-
681 tionary term at the time of initial appointment (see subsection II.C.2).
- 682 iii. Making recommendations on requests for the extension of the normal proba-
683 tionary term (see subsection II.C.4).
- 684 iv. Consulting, by request of the faculty member, with faculty members who
685 are considering requesting conferral of permanent tenure prior to the end of
686 the probationary term (see subsection II.C.6).
- 687 v. Consulting, by request of the faculty member, with faculty members who
688 are considering requesting promotion (see subsection III.).
- 689 vi. Reviewing additional materials submitted by faculty members for inclusion
690 in their personnel action dossier (PAD); consulting with the unit administra-

- 691 tor regarding responses to such materials (see subsection IV.B.).
692 vii. Electing a search committee as prescribed by the unit's code to fulfill the
693 responsibilities of soliciting and screening applicants and recommending to
694 the unit's Personnel Committee candidates for initial appointments. A ma-
695 ajority of unit search committee members must have at least one academic
696 year's employment at ECU and must be full-time faculty members holding
697 either a fixed or probationary-term appointment or permanent tenure. For
698 the purposes of this section, administrators may not be a part of the com-
699 mittee.
700 viii. Making recommendations for advancement in title for fixed-term faculty
701 members.

702
703 (d) Role of the Chair of the Unit Personnel Committee

704 The chair of the unit Personnel Committee shall be permanently tenured and
705 shall be elected annually by and from the committee's membership. The chair
706 shall preside over all committees making personnel recommendations to the unit
707 administrator and may participate in the decisions of any committee of which
708 the chair is a member, except as noted below. The chair of the committee shall
709 ensure that the candidate's materials contain all required documents, obtain and
710 distribute materials to be used during the deliberation of the committee, ensure
711 that a valid vote has been taken, communicate the results of such votes to the
712 appropriate faculty members and to the unit administrator, and perform other
713 duties as designated by the unit code. If the chair of the unit Personnel Commit-
714 tee holds a professorial rank lower than that to which a faculty member requests
715 promotion, the unit Personnel Committee chair shall not be eligible to partici-
716 pate and shall only be responsible for calling a meeting of the Promotion com-
717 mittee to facilitate the election of a chair of the committee from among its
718 membership. In such cases where the Chair of the unit Personnel Committee is
719 ineligible to participate, he/she shall not attend any meetings of the committee
720 except to facilitate the election of the chair as noted above.
721

722 2. Promotion Committee

723 (a) Function

724 The Promotion Committee shall be responsible for making recommendations for
725 promotions in rank and for recommending the ranks of initial appointments at
726 the associate professor or professor level. When making a recommendation for or
727 against promotion, the Promotion Committee shall prepare and forward to the
728 unit administrator and to the candidate (see subsection G) a statement of the
729 committee's recommendation that contains the committee's cumulative evalua-
730 tion of the candidate. In the case of a recommendation for or against promotion
731 that coincides with a recommendation for or against permanent tenure, both rec-
732 ommendations are reported together and only one cumulative evaluation address-
733 ing both recommendations is required. The committee's deliberations on its cu-
734 mulative evaluation and recommendation may address any of the candidate's con-
735 tractual duties and professional conduct (Part V, Section II).

736
737 In order to protect the candidate's due process right, the review will address mis-
738 conduct only if the misconduct is documented in the faculty member's personnel

739 file and the faculty member's due-process rights were respected (the right to appeal
740 a finding or sanction to the relevant committee and the right to include in the per-
741 sonnel file a letter expressing disagreement with a finding). Should an alleged case
742 of misconduct be too recent for the candidate to appeal the charge or finding of
743 misconduct by the university, the committee's review may be suspended with the
744 approval of the Chancellor until such time as determined by the Chancellor.

745
746 (b) Composition

747 The membership of the Promotion Committee shall be composed of those per-
748 manently tenured voting faculty members who hold rank at least equal to the rank
749 for which the candidate is being considered, including those on non-medical leave
750 but in attendance at the committee's meeting at the time of the committee's vote,
751 but excluding the unit administrator. The composition of the committee shall thus
752 vary with the rank to which a faculty member is being considered for promotion.
753 In cases where multiple candidates are being considered for promotion, a unit may
754 decide to constitute different subcommittees in an effort to ensure candidates are
755 reviewed by committee members with relevant expertise.

756
757 When a unit has fewer than three permanently tenured voting faculty members of
758 sufficient rank and not holding administrative status, the next higher administrator
759 above the unit level shall appoint permanently tenured faculty members at the re-
760 quired rank from other units across the university to increase the committee's
761 membership to three. These appointments to the committee must be from one list
762 of candidates selected by a vote of the permanently tenured faculty members having
763 rank at least equal to the faculty member(s) being considered for promotion in ad-
764 dition to the faculty member(s) seeking promotion. The list forwarded to the next
765 higher administrator by the faculty will contain at least twice the number of faculty
766 members required to complete the membership of the committee(s). Before voting
767 on the list to be forwarded to the next higher administrator, the chair of the com-
768 mittee will ascertain that faculty members nominated to have their names placed on
769 the list are willing and able to serve in this important capacity. The list of faculty
770 names recommended to the next higher administrator may not be returned for revi-
771 sion.

772
773 3. Tenure Committee

774 (a) Function

775 The Tenure Committee shall be responsible for making recommendations for re-
776 appointments of probationary-term faculty members, the granting of permanent
777 tenure, and conferral of tenure for initial appointments with permanent tenure.
778 The Tenure Committee, or an elected subcommittee of the Tenure Committee,
779 shall prepare a cumulative evaluation of the faculty member; and, after review and
780 response (if any) by the candidate, shall forward to the unit administrator its rec-
781 ommendation, along with the cumulative evaluation and candidate's response (if
782 any). When the decision is for both tenure and promotion, only one cumulative
783 evaluation containing a recommendation for or against tenure and promotion is
784 required. The committee's deliberations on its cumulative evaluation and recom-
785 mendation shall have as their basic standard of appraisal and evaluation
786 whether the faculty member under review met the stated and approved criteria of

787 the unit's code during the period under review. The committee's deliberations may
788 address any of the candidate's assigned duties and professional conduct (Part V,
789 Section II).

790
791 In order to protect the candidate's due process right, the review will address mis-
792 conduct only if the misconduct is documented in the faculty member's personnel
793 file and the faculty member's due-process rights were respected (the right to appeal
794 a finding or sanction to the relevant committee and the right to include in the per-
795 sonnel file a letter expressing disagreement with a finding). Should an alleged case
796 of misconduct be too recent for the candidate to appeal the charge or finding of
797 misconduct by the university, the committee's review may be suspended with the
798 approval of the Chancellor until such time as determined by the Chancellor.

799
800 (b) Composition

801 The Tenure Committee shall be composed of the permanently tenured voting
802 faculty members of the unit, including those who are on non-medical leave but in
803 attendance at the meeting at the time of the committee's vote, but excluding the
804 unit administrator. In cases where multiple candidates are being considered for
805 promotion, a unit may decide to constitute different subcommittees in an effort to
806 ensure candidates are reviewed by committee members with relevant expertise.

807
808 When a unit has fewer than three permanently tenured voting faculty members
809 not holding administrative status, the next higher administrator above the unit lev-
810 el shall appoint permanently tenured voting faculty members from other units to
811 increase the committee's membership to three. These appointments to the com-
812 mittee must be from one list of candidates selected by a vote of the permanently
813 tenured and probationary-term faculty members of the unit, including the faculty
814 member(s) seeking tenure. In cases where multiple candidates are being considered
815 for promotion, a unit may decide to constitute different committees for each can-
816 didate in an effort to ensure candidates are reviewed by committee members with
817 relevant expertise. The list forwarded to the next higher administrator by the ap-
818 propriate faculty members will contain at least twice the number of faculty mem-
819 bers required to complete the membership of the committee. Before voting on
820 the list to be forwarded to the next higher administrator, the voting faculty mem-
821 bers will ascertain that faculty members nominated to have their names placed on
822 the list are willing and able to serve in this important capacity. The list of faculty
823 names recommended to the next higher administrator may not be returned for re-
824 vision.

825
826 Faculty members may not participate in any personnel action involving someone with
827 whom the faculty member has or has had an amorous relationship or to whom the
828 faculty member is related by blood, law, or marriage (as defined in UNC Policy Manu-
829 al 300.4.2 and 300.4.2.1[G]). If a faculty member has other potential conflicts of inter-
830 est, those should be disclosed to the committee, and following *Roberts Rules of Order,*
831 *Newly Revised*, the committee may vote to deny that faculty member a vote in a particu-
832 lar personnel action.

833

- 834 (c) Additional roles of the unit Tenure Committee.
835 A Code Unit may establish, in its unit code , procedures for fulfilling the additional
836 roles; however, if the Code of a unit is silent in this regard, it is hereby established
837 that the entire membership of the unit Tenure Committee will participate in these
838 additional roles. In accordance with the unit code, if the unit’s Tenure Committee
839 has more than five members, the unit Tenure Committee may elect a subcommit-
840 tee of at least five members to participate in these additional roles. The unit Tenure
841 Committee (or properly constituted subcommittee):
- 842 i. Produces a list of possible external reviewers and selects external peer re-
843 viewers from lists produced by the Committee and by the candidate (see
844 subsection IV.C).
 - 845 ii. Selects, with the unit administrator, the scholarship materials to be sent
846 to external peer reviewers (see subsection IV.C).
 - 847 iii. Prepares a cumulative evaluation of progress toward tenure during reap-
848 pointment and non-reappointment decision years.

849
850 C. Role of Unit Administrator

851 The unit administrator serves to provide leadership, support, and guidance to the total
852 functioning of the unit.

853
854 The unit administrator is responsible for maintaining the personnel files, providing timely
855 notification to the chair of the unit Personnel Committee on all personnel actions re-
856 quired or expected, reviewing candidates’ Personnel Action Dossiers to ensure that all re-
857 quired documentation is present, and distributing all personnel documents and materials
858 to the appropriate secure location. For probationary term faculty members, the unit ad-
859 ministrator annually concurs with the Tenure Committee’s cumulative review of the can-
860 didate’s progress toward tenure or, when not concurring, prepares a separate cumulative
861 evaluation in narrative form of the candidate’s teaching, scholarship, service, and any oth-
862 er relevant duties. For tenure or promotion, the unit administrator prepares a cumulative
863 evaluation in narrative form of the candidate’s teaching, scholarship, service, and any oth-
864 er relevant duties. As indicated at the beginning of this section, the personnel recommen-
865 dations of the unit administrator shall be forwarded to the next higher administrator
866 along with the recommendation of the appropriate faculty committee.

867
868 In personnel matters, the unit administrator functions as an administrator rather than a
869 faculty member. Consequently, the unit administrator does not have a faculty vote in per-
870 sonnel matters. Therefore, unit administrators are excluded from all unit committee delib-
871 erations concerning candidates for appointment, re-appointment, promotion, or permanent
872 tenure (the procedure for non-concurring recommendations is addressed in Part IX, Sec-
873 tion I (IV.H.). However, when invited by a majority vote of the membership of the Per-
874 sonnel, Tenure, or Promotion Committee, a unit administrator may meet with that commit-
875 tee for informational purposes prior to formal deliberations.

- 876
877 D. External Peer Review for Promotion and the Conferral of Permanent Tenure
878 “External peer review” means a review of a candidate’s scholarship by persons who are
879 not faculty members or employees of East Carolina University. Every effort must be
880 made to ensure that the process of external peer review is conducted fairly and without
881 bias. External peer reviews of the quality of the candidate’s scholarship, as evidenced by

Comment [DM2]: I am trying to figure out what this should be, probably not an “A”. D, right?

882 the material submitted by the candidate for promotion or conferral of permanent tenure
883 or both, will be used by the appropriate committee(s) in conjunction with its own eval-
884 uation of the material. The unit administrator and the unit Tenure Committee shall se-
885 lect the material from the dossier to be sent to external reviewers. The candidate may
886 include additional published or accepted material if the candidate disagrees with the ini-
887 tial selection. Inclusion of such additional items in the materials sent to reviewers shall
888 be noted by memorandum of the unit administrator in the dossier and the candidate's
889 personnel file.

891 Qualifications of the reviewers and criteria for their selection are to be determined by the
892 faculty of each unit and contained in the unit code. According to the provisions of unit
893 codes, other materials that reflect the candidate's scholarly activities may be included in the
894 selections to be sent to external reviewers.

896 In accordance with the timeline in the Faculty Manual Part X, prior to the academic year in
897 which a promotion or tenure decision is scheduled, the unit Tenure Committee shall pro-
898 duce a list of at least six possible external reviewers. The candidate for promotion and/or
899 permanent tenure shall independently provide a similar list, noting for each name the any po-
900 tential conflicts of interest and the nature of the relationship, if any, between the reviewer
901 and the candidate. The candidate shall also provide similar relationship information for each
902 name on the unit Tenure Committee's list.

903
904 The unit Tenure Committee shall select a sufficient number of names from the unit Tenure
905 Committee's list and the candidate's list to ensure that a minimum of three external reviewers
906 are requested. Code units that require more than three external reviewers shall make special
907 provisions in their unit codes. These provisions must clearly indicate the number of external
908 reviewers required by the unit. In the final recruitment of external reviewers, the committee
909 shall ensure that at least one-third of the external reviewers were selected from the candi-
910 date's list. In cases where membership on the committee's list and the candidate's list over-
911 laps, it is permissible that all reviewers be on the candidate's list. External reviewers shall
912 hold a rank not less than that to which the candidate is requesting promotion or, if a mem-
913 ber of a foreign university, be of at least equivalent academic standing to the rank being
914 sought as determined by the tenure committee. If the reviewer is not an academic, the re-
915 viewer shall demonstrably possess the professional experience necessary to evaluate the can-
916 didate's qualification for the rank being sought.

917
918 The unit administrator or his or her delegate shall serve as the contact person with potential
919 and actual external reviewers. If a situation arises in which a unit administrator or his or her
920 delegate is unable to communicate with a potential or actual reviewer in a timely manner, the
921 unit Tenure Committee chair will do so. If the unit administrator, his or her delegate, or the
922 Tenure Committee chair is unable to communicate with external reviewers in a timely way,
923 the next higher administrator shall appoint someone to perform the necessary communica-
924 tion duties. Only procedural matters may be discussed with potential and actual reviewers for
925 the duration of the personnel action.

926
927 The unit administrator will notify potential reviewers in writing that they have been nomi-
928 nated to conduct the review and ascertain their willingness to serve as reviewers. To assist
929 the potential reviewer in determining their own suitability to perform the review, the request

930 to serve as an external reviewer will be accompanied by a copy of the candidate's Curriculum
931 Vitae and information about potential conflicts of interest will be solicited at that time. If any
932 potential conflicts are disclosed, the unit administrator and the Tenure Committee will meet
933 to determine whether the disclosed relationship should preclude the potential external re-
934 viewer from serving in that capacity. If the unit administrator and the committee do not
935 agree, the next higher administrator will reach a determination. All communications on such
936 a disclosed relationship and a memo describing the decision written by the unit administrator
937 should be included in the PAD.

938
939 No later than the date specified in Part X of the *Faculty Manual*, selected scholarship from the
940 candidate's PAD and the candidate's Curriculum Vitae, along with a cover letter prescribed
941 by the appropriate Vice Chancellor, shall be sent to the reviewers. Units may send an excerpt
942 from the Unit Code describing the criteria for tenure and/or promotion, as applicable. Cor-
943 respondence with the reviewers shall be written in neutral terms, serving to neither support
944 nor oppose the candidate and shall not deviate substantially from the University-prescribed
945 cover letter.

946
947 All external reviews received by the deadline specified in Part X of the *Faculty Manual* must
948 be included in the PAD. In the case that the number of reviews received exceeds the num-
949 ber of reviews set by the candidate's Unit Code, all reviews received shall be included in the
950 candidate's PAD. Independently from the fact that a contacted external reviewer produced a
951 timely review or not, copies of all communications with potential or actual reviewers shall be
952 placed in the candidate's Personnel Action Dossier.

953
954 If the faculty member under review does not provide the material to be submitted to ex-
955 ternal reviewers by the deadline outlined in Part X of the ECU *Faculty Manual*, the failure
956 to submit the required materials will be considered as notice that the faculty member is
957 withdrawing the request for consideration for promotion or conferral of permanent tenure.
958 The Personnel Committee and the unit administrator shall notify the faculty member in
959 writing, with a copy to the next higher administrator, within 30 calendar days of the dead-
960 line that failure to submit the required materials for external review constitutes withdrawal
961 from consideration. From that time, the faculty member may not serve on the unit's Per-
962 sonnel, Tenure, or Promotion committees.

963
964 (Copies of the prescribed letters are available on the Faculty Senate website at
965 <http://www.ecu.edu/cs-acad/fsonline/fg/facultygovernance.cfm>.) Copies of all corre-
966 spondence with the reviewers and the reviews shall be made a part of the Personnel Ac-
967 tion Dossier (hereinafter, "the dossier") (see subsection IV.D.2).

968
969 Upon receipt of a review, the unit administrator will place the original review in the candi-
970 date's personnel file and copies of the review in the candidate's dossier. Copies of the ex-
971 ternal review letter will only be made available to candidates upon petition. The unit admin-
972 istrator shall then notify the members of the appropriate committee that the Personnel Ac-
973 tion Dossier, including external reviews, is available.

974
975 If, prior to August 1 of the summer during which a candidate's material is under review,
976 someone who has agreed to conduct a review withdraws or it otherwise becomes known
977 that an agreed-upon review will not be forthcoming, the Tenure Committee will provide

978 the unit administrator with the name of an additional reviewer from the prioritized list,
979 following the same procedure that resulted in the original list. When fewer than three ex-
980 ternal reviews are received by the deadline set in the letter to the external reviewers that
981 accompanied the candidate's materials, this information, by memorandum from the unit
982 administrator, shall be made a part of the candidate's PAD.

983
984 E. Documentation for Personnel Actions

985 1. Employment Applications

986 Information on job applicants is to be kept in a secure file available to the appropriate
987 committee members (see subsection IV.A).

988
989 2. Personnel Action Dossier for Reappointment, Promotion, and Permanent Tenure

990 The Personnel Action Dossier (PAD) is a file containing materials for evaluating a faculty
991 member's professional activities and accomplishments. The dossier is compiled by candi-
992 dates for reappointment, promotion, and/or permanent tenure in consultation with the
993 unit administrator and the chair of the unit Tenure Committee. The dossier will be used
994 by the appropriate committee in making personnel recommendations. Documents may not
995 be added to the PAD after the deadline for submitting the PAD to the Tenure and/or
996 Promotion Committee, as specified in Part X, except where revised deadlines are approved
997 in writing by the Chancellor. Prior to a committee's review, the unit administrator will con-
998 firm that the candidate's PAD contains all required materials. If a candidate's PAD is miss-
999 ing any required document, the review process is halted until the Chancellor approves an
1000 extension of time to secure required documents. A committee's deliberations are not lim-
1001 ited to the contents of the Personnel Action Dossier and may address any of the candi-
1002 date's contractual duties and professional conduct (Part V, Section II).

1003
1004 In order to protect the candidate's due process rights, the review will address misconduct
1005 only if the misconduct is documented in the faculty member's personnel file and the facul-
1006 ty member's due-process rights were respected (the right to appeal a finding or sanction to
1007 the relevant committee and the right to include in the personnel file a letter expressing dis-
1008 agreement with a finding). Should an alleged case of misconduct be too recent for the can-
1009 didate to appeal the charge or finding of misconduct by the university, the committee's re-
1010 view may be suspended with the approval of the Chancellor until such time as determined
1011 by the Chancellor.

1012
1013 For details on organization, content and limitations of the dossier, see Part X of the *ECU*
1014 *Faculty Manual*.

1015
1016 3. Disagreements as to inclusion or removal of documents

1017 The Personnel Action Dossier shall include the required documents and a list of accom-
1018 plishments in summary form relevant to the faculty member's teaching, scholarship, and
1019 service, as described above. If the faculty member disagrees with the unit administrator
1020 and/or the unit Tenure Committee as to the inclusion of relevant documents, the docu-
1021 ments will be included and each may include a statement about the document in the dossi-
1022 er.

1023
1024 F. Initiation of Recommendations by Unit Personnel, Tenure, and Promotion Committees

1025 1. Procedural Rules for conducting committee business

1026 The unit administrator shall give timely notice to the chair of the unit Personnel
1027 Committee when personnel actions are to be initiated and of the date defined in Part X
1028 of the Faculty Manual by which the committee's recommendation and cumulative evalua-
1029 tion, if applicable, must be communicated to the unit administrator. After being notified
1030 by the unit administrator that a personnel action is required, the chair of the appropriate
1031 committee shall make at least three attempts at intervals of no fewer than five working
1032 days each to hold a meeting of the appropriate committee for the pending personnel ac-
1033 tion. In order to conduct business, a committee shall not meet without a quorum.

1035 A quorum is defined as three-quarters of the membership for a committee that has twenty
1036 or fewer members; and a quorum is defined as a majority, defined as 50% plus one, of
1037 the membership for a committee that has more than twenty members. A list of all com-
1038 mittee members who were absent during a vote on a personnel action will be forwarded
1039 to the unit administrator. The committee may develop policies to designate certain ab-
1040 sences as excused absences. Faculty members on approved medical leave do not attend
1041 and do not count for purposes of determining a quorum of the committee. Unexcused
1042 absences should be considered in annual evaluations.

1044 The purpose of this meeting is to deliberate and hold a vote by secret ballot on the pend-
1045 ing personnel action. All materials pertaining to the pending personnel action (see subsec-
1046 tion IV.D.) must be available for inspection in a secure location at least five business days
1047 prior to the meeting. Members of the committee(s) who are responsible for the pending
1048 personnel action shall review the materials individually in preparation for discussion at the
1049 meeting. A faculty member on leave and not in attendance at a meeting shall not be count-
1050 ed for the purposes of determining a quorum for that meeting. A faculty member on non-
1051 medical leave but in attendance at a meeting shall be counted for the purposes of deter-
1052 mining a quorum for that meeting.

1054 Faculty members may not participate in any personnel action involving someone with
1055 whom the faculty member has or has had an amorous relationship or to whom the faculty
1056 member is related by blood, law, or marriage (as defined in UNC Policy Manual 300.4.2 and
1057 300.4.2.1[G]). If a faculty member has other potential conflicts of interest, those should be
1058 disclosed to the committee, and following Roberts Rules of Order, Newly Revised, the committee
1059 may vote to deny that faculty member a vote in a particular personnel action.

1061 If the committee fails to meet the deadline for the submission of the committee's recom-
1062 mendation specified in Part X, this outcome shall count as a recommendation by the
1063 committee against appointment, reappointment, promotion, or tenure. In such a case, the
1064 chair of the appropriate committee shall report in writing to the unit administrator that
1065 after at least three attempts the committee has failed to meet due to a lack of a quorum,
1066 and that this outcome constitutes a recommendation against appointment, reappoint-
1067 ment, promotion, or tenure. The unit administrator shall forward the committee's rec-
1068 ommendation and the unit administrator's recommendation to the candidate and to the
1069 next higher administrator.

1071 2. Voting Procedures for Personnel Actions

1072 (a) In the case of initial appointment recommendations, each member of the unit
1073 Personnel Committee will indicate by secret ballot his or her choice for the ap-

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Faculty members may not participate in any personnel action involving someone with whom the faculty member has or has had an amorous relationship or to whom the faculty member is related by blood, law, or marriage (as defined in UNC Policy Manual 300.4.2 and 300.4.2.1[G]). If a faculty member has other potential conflicts of interest, those should be disclosed to the committee, and following *Roberts Rules of Order, Newly Revised*, the committee may vote to deny that faculty member a vote in a particular personnel action.

A candidate who receives a majority vote of the committee members present shall be recommended for appointment. (For recommendations of rank of initial appointments at the associate professor or professor level, see subsection IV.A.2.a. For conferral of tenure for initial appointments see subsection IV.A.3.a.) A committee shall not reconsider a vote on a personnel recommendation after the committee has notified the unit administrator of its recommendation.

(b) Faculty recommendations for reappointment, promotion, and conferral of permanent tenure shall come from the appropriate committee (see Section IV.A). The committee prepares a cumulative evaluation and written recommendation that is approved by secret ballot, provided to the candidate for response, and forwarded to the unit administrator. The committee's deliberations may address any of the candidate's professional activities and conduct.

Faculty members may not participate in any personnel action involving someone with whom the faculty member has or has had an amorous relationship or to whom the faculty member is related by blood, law, or marriage (as defined in UNC Policy Manual 300.4.2 and 300.4.2.1[G]). If a faculty member has other potential conflicts of interest, those should be disclosed to the committee, and following *Roberts Rules of Order, Newly Revised*, the committee may vote to deny that faculty member a vote in a particular personnel action.

A committee shall not reconsider a vote on a personnel recommendation after the committee has notified the unit administrator of its recommendation.

The committee members may choose to vote by mail according to the latest edition of *Robert's Rules of Order, Newly Revised*. Within fifteen working days of notification by the unit administrator of the need to initiate a personnel action, the chair of the appropriate committee shall convene a meeting of the committee (see subsection IV.E.1.). At this meeting, the chair of the committee shall ascertain whether or not the committee will vote by mail. If a motion to vote by mail is approved by a majority of the committee members present and voting, voting shall be by mail. If a committee chooses to vote by mail, all members must vote by mail. If the committee chooses to vote by mail in the case of a promotion or tenure recommendation, a sub-committee consisting of at least five members of the Tenure Committee may meet and prepare the cumulative evaluation and written recommendation. The sub-committee shall be chaired by the chair of the Tenure Committee. Members may be elected to the sub-committee by email ballot.

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In the case of reappointment, promotion, and conferral of permanent tenure, each member of the appropriate committee will indicate by secret ballot his or her vote for or against a cumulative evaluation and recommendation for or against the candidate's being reappointed, promoted, and/or granted permanent tenure.

(c) In the case of recommendations for new appointments or for subsequent appointments of faculty members currently holding fixed-term appointments, each member of the unit Personnel Committee will indicate by secret ballot his or her choice for or against the recommendation. This vote may be taken at a committee meeting or by mail ballot as described in subsection IV.E.2.b.

Faculty members may not participate in any personnel action involving someone with whom the faculty member has or has had an amorous relationship or to whom the faculty member is related by blood, law, or marriage (as defined in UNC Policy Manual 300.4.2 and 300.4.2.1[G]). If a faculty member has other potential conflicts of interest, those should be disclosed to the committee, and following *Roberts Rules of Order, Newly Revised*, the committee may vote to deny that faculty member a vote in a particular personnel action.

The committee's deliberations may address any of the candidate's professional activities and conduct. A vote for the recommendation by a majority of the committee members present shall constitute a recommendation for a new appointment. A member who is present when a vote is taken but who does not vote counts as part of the membership of the committee for the purposes of determining a majority vote. Failure to obtain a majority vote constitutes a recommendation against a new appointment (Faculty Senate Resolution #03-30). A committee shall not reconsider a vote on a personnel recommendation after the committee has notified the unit administrator of its recommendation.

(d) If a committee votes by mail, the ballots shall be sent by a method that provides delivery verification and is consistent with *Robert's Rules of Order, Newly Revised* or distributed by the committee chair. The refusal by a committee member to receive the correspondence containing the ballot within five business days of the first delivery attempt shall count as a vote against appointment, reappointment, promotion, or tenure. If ballots are distributed by the committee chair, the committee chair shall assure that recipients acknowledge receipt in writing. The acknowledgment must include the date of receipt. A ballot either shall be returned by a method that provides delivery verification and is consistent with *Robert's Rules of Order, Newly Revised* or shall be personally returned by hand to the committee chair, at the discretion of the individual committee member. Committee members returning ballots by hand shall sign a confirmation form that is retained by the committee chair, with the secrecy of the ballot preserved according to procedures in *Robert's Rules of Order, Newly Revised*. Ballots not returned within ten working days of verified receipt shall count as a vote against recommending appointment, reappointment, promotion, or tenure. If a committee votes by mail, a faculty member on non-medical leave may choose either to vote or not to vote,

1170 at his or her discretion. The unit administrator shall ascertain and shall inform
1171 the chair of the appropriate committee in writing as to whether or not a faculty
1172 member on non-medical leave will participate in a mail ballot. Faculty members
1173 on approved medical leave are not permitted to participate in university business
1174 during the approved leave. If a faculty member on non-medical leave chooses to
1175 participate in a mail ballot, the faculty member shall count in determining a major-
1176 ity vote in favor of the recommendation. If the faculty member on non-medical
1177 leave chooses not to participate in a mail ballot, the faculty member shall not
1178 count in determining a majority vote in favor of the recommendation (Faculty
1179 Senate Resolution #03-30).

1180 G. College Promotion and Tenure Committee

1181 1. Function

1182 A College Promotion and Tenure Committee, if established in the unit code or Col-
1183 lege constitution or bylaws, shall be responsible for advising the dean regarding pro-
1184 motion and the conferral of permanent tenure.

1185 2. Composition and Election

1186 The composition and election of a College Promotion and Tenure Committee shall be
1187 determined by the college according to procedures in its College Unit Code or constitu-
1188 tion. The College Committee shall consist of at least three permanently tenured faculty
1189 members from the College holding the rank of professor, but excluding the dean and
1190 unit administrators. If the committee consists of only three members, there shall be a
1191 sufficient number of alternates, as needed, to ensure there are always three voting mem-
1192 bers of the committee. Members of the committee shall continue to serve on their unit's
1193 Promotion and Tenure Committees and count toward a quorum for the unit's commit-
1194 tees during the term of their service on the College Promotion and Tenure Committee.
1195 Members of the College Promotion and Tenure Committee shall recuse themselves
1196 from the review of members of their own departments.

1197 Faculty members may not participate in any personnel action involving someone with
1198 whom the faculty member has or has had an amorous relationship or to whom the faculty
1199 member is related by blood, law, or marriage (as defined in UNC Policy Manual 300.4.2 and
1200 300.4.2.1[G]). If a faculty member has other potential conflicts of interest, those should be
1201 disclosed to the committee, and following *Roberts Rules of Order, Newly Revised*, the committee
1202 may vote to deny that faculty member a vote in a particular personnel action.

1203 H. Notification of Recommendations

1204 During years in which a reappointment or tenure decision is required, the cumulative evalu-
1205 ation and recommendation of the Tenure Committee shall be communicated by the chair
1206 of the committee to the candidate, along with a notification that the candidate has seven
1207 working days to respond. In accordance with the deadline in Part X, Section II of the ECU
1208 Faculty Manual, the committee shall forward to the unit administrator its recommendation,
1209 cumulative evaluation, and the candidate's response, if any.

1210 When promotion is being considered, the cumulative evaluation and recommendation of
1211 the Promotion Committee shall be communicated by the chair of the committee to the

1217 candidate, along with notification that the candidate has seven working days to respond. In
1218 accordance with the deadline in Part X, Section II of the ECU *Faculty Manual*, the commit-
1219 tee forwards to the unit administrator its recommendation, cumulative evaluation, and the
1220 candidate's response, if any.

1221 A committee shall not reconsider a vote on a personnel recommendation after the commit-
1222 tee has notified the unit administrator of its recommendation.

1225 The faculty member shall be informed in writing of all recommendations at every level,
1226 beginning with the committee's recommendation and continuing up to the level where
1227 the final decision is made.

1229 During years in which a reappointment decision is required, the unit administrator
1230 communicates their concurrence or non-concurrence with the Tenure Committee's
1231 recommendation to the candidate, the committee, and the next higher administrator.
1232 The written notification shall contain (a) the unit administrator's cumulative evaluation
1233 and recommendation, in accordance with Part X, Section I (B), Personnel Action Dossi-
1234 er of the ECU *Faculty Manual* and (b) the statement that the candidate has seven working
1235 days from the date of receipt of the notification letter, sent by a method that provides
1236 delivery verification, to include a response to the cumulative evaluation, in accordance
1237 with subsection D. Supporting Materials of Part X, Personnel Action Dossier.

1239 During years in which tenure and/or promotion decisions are considered, the unit ad-
1240 ministrator prepares their own cumulative review with a recommendation and com-
1241 municates it to the candidate, the committee, and the next higher administrator. The
1242 written notification shall contain (a) the unit administrator's cumulative evaluation and
1243 recommendation, in accordance with Part X, Section I (B), Personnel Action Dossier of
1244 the ECU *Faculty Manual* and (b) the statement that the candidate has seven working days
1245 from the date of receipt of the notification letter, sent by a method that provides deliv-
1246 ery verification, to include a response to the cumulative evaluation, in accordance with
1247 subsection D. Supporting Materials of Part X, Personnel Action Dossier.

1249 I. Procedure for Concurring and Non-Concurring Recommendations concerning Reappoint-
1250 ment, Promotion, and/or the Conferral of Permanent Tenure

1252 If the recommendations of a unit administrator and the appropriate committee disagree
1253 on a recommendation for reappointment, promotion, and/or the conferral of perma-
1254 nent tenure, that administrator shall discuss the potential non-concurrence at the unit
1255 committee level before forwarding the committee's recommendation and his or her con-
1256 currence or non-concurrence to the next higher administrator.

1258 A committee shall not reconsider a vote on a personnel recommendation after the commit-
1259 tee has notified the unit administrator of its recommendation.

1261 After the appropriate committee and the unit administrator transmit their recommenda-
1262 tions to the next higher administrator, that administrator performs his or her own review,
1263 reaching a decision to either concur or not concur and composing a written rationale as
1264 part of the recommendation. The written recommendation is forwarded to the next

1265 highest administrator along with the recommendations from the committee and the unit
1266 administrator. The unit administrator and the chair of the relevant committee are notified
1267 of the recommendation of the next higher administrator.

1268
1269 The same procedure shall be repeated at each administrative level until the recommenda-
1270 tion reaches the appropriate Vice Chancellor. Immediately after the completion of each
1271 level of administrative review, the administrator's recommendation shall be communicat-
1272 ed to all appropriate lower administrators, the candidate, and the committee of the unit
1273 which made the initial recommendation.

1274
1275 If the Vice Chancellor concurs in a recommendation for promotion and/or conferral of
1276 permanent tenure, the Vice Chancellor shall forward the recommendation to the Chancel-
1277 lor. The Chancellor shall consider the recommendation from the Vice Chancellor to pro-
1278 mote and/or to confer permanent tenure. Reappointment decisions by the Vice Chancel-
1279 lor are final.

1280
1281 In the event that the Vice Chancellor is considering a recommendation concerning reap-
1282 pointment, promotion, or the conferral of permanent tenure that is contrary to the vote
1283 of the appropriate unit committee, the Vice Chancellor shall meet with the committee to
1284 discuss the potential non-concurrence. If the Vice Chancellor decides against reappoint-
1285 ment, promotion, and/or conferral of permanent tenure, the Vice Chancellor shall give
1286 the faculty member being considered a simple, written statement of the decision. This de-
1287 cision is final except as it may later be reviewed in accordance with the provisions of Part
1288 IX, Section I (V) or the grievance procedure of Part XII, Section I.

1289
1290 If the Chancellor concurs in a recommendation to confer permanent tenure, the Chan-
1291 cellor shall submit the recommendation to the Board of Trustees for final approval. If
1292 the Chancellor concurs in a recommendation to reappoint or in favor of promotion, the
1293 Chancellor's approval shall be final.

1294
1295 If the Chancellor decides not to recommend promotion and/or the conferral of perma-
1296 nent tenure, the Chancellor shall give the faculty member being considered a simple,
1297 written statement of the decision. This decision is final except as it may be reviewed in
1298 accordance with the provisions of subsection V or the grievance procedure of Part XII,
1299 Section I, as appropriate.