

**East Carolina University
Faculty Manual**

PART XII

PERSONNEL ACTION DOSSIER

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Part XII. PERSONNEL ACTION DOSSIER

[Link to Guidelines for Preparing a Cumulative Evaluation.](#)

The Personnel Action Dossier (PAD) is a collection of documents and lists of accomplishments in summary form that provides a record of the accomplishments of a faculty member seeking reappointment, promotion, or tenure. A PAD is compiled in a manner described in Appendix D of the *East Carolina University Faculty Manual* each time a personnel action for reappointment, promotion, or tenure takes place. Each PAD becomes part of the faculty member's permanent personnel file and is not returned to the faculty member.

In the review process, attention is paid both to productivity since the date of hire, tenure or last promotion (whichever is more recent) and accomplishments over one's entire career. Within the PAD the candidate should supply dates for all listed activities and accomplishments, making it possible for reviewers to identify clearly the chronology of accomplishments related to the time of hire, tenure or last promotion (whichever is more recent).

The Personnel Action Dossier shall include the following items:

- A. A properly executed *ECU Cumulative Report for Reappointment, Promotion and Tenure* (see Attachment 1) is required for these personnel actions. It is the responsibility of the faculty member to have prima facie evidence of all activity listed in this report available for inspection, if requested, by reviewers at any level of the personnel action process.

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

- B. Recommendations

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

- 1. For reappointment:
 - a. Unit Tenure Committee's recommendation, signature of the chair of the unit Personnel Committee, and date
 - b. Unit administrator's recommendation, signature, and date
 - c. Dean's recommendation, signature, and date
 - d. Provost/Vice Chancellor's recommendation, signature, date
- 2. For tenure:
 - a. One cumulative evaluation in narrative form of the candidate's teaching, research, service, and any other relevant duties, prepared by the unit Tenure Committee. A draft of this cumulative evaluation, to be completed

after the candidate turns in the PAD, should be available for discussion by the entire Tenure committee before the vote. (Faculty Senate Resolution #08-27, May 2008)

- b. A cumulative evaluation in narrative form of the candidate's teaching, research, service, and any other relevant duties, prepared by the unit administrator.
 - c. Unit Tenure Committee's recommendation, signature of the chair of the unit Personnel Committee, and date
 - d. Unit administrator's recommendation, signature, and date
 - e. Dean's recommendation, signature, and date
 - f. Provost/Vice Chancellor's recommendation, signature, date
3. For promotion:
- a. One cumulative evaluation in narrative form of the candidate's teaching, research, service, and any other relevant duties, prepared by the unit Promotion Committee. A draft of this cumulative evaluation, to be completed after the candidate turns in the PAD, should be available for discussion by the entire Promotion committee before the vote.
(Faculty Senate Resolution #08-27, May 2008)
 - b. A cumulative evaluation in narrative form of the candidate's teaching, research, service, and any other relevant duties, prepared by the unit administrator.
 - c. Unit Promotion Committee's recommendation, signature of the chair of the unit Promotion Committee, and date
 - d. Unit administrator's recommendation, signature, and date
 - e. Dean's recommendation, signature, and date
 - f. Provost/Vice Chancellor's recommendation, signature, date

C. Records of Evaluation

1. For evaluation for reappointment decisions:
 - a. Copies of the criteria for reappointment set forth by the code unit of the faculty member.
 - b. Copies of all written communications with the candidate on progress toward tenure, including all annual evaluations over the period of time appropriate to the decision.
 - c. Records of the discussions on annual evaluation meetings with the unit administrator (see Appendix C. III.).
 - d. Records of the assigned teaching duties and responsibilities including indication of released time over the period of time appropriate to the decision (see Part V. H).
 - e. Records of the annual discussions on the criteria for evaluating faculty performance.
2. For evaluation for tenure decisions:
 - a. Copies of the criteria for tenure set forth by the code unit of the faculty member.

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

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

D. Supporting materials

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

E. Other material

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

F. Disagreements as to inclusion or removal of documents

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

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

G. Size of Dossier

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

Part XII. PERSONNEL ACTION DOSSIER
Attachment 1.

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

[Link to Guidelines for Preparing a Cumulative Evaluation.](#)

A. General Information

1. Name
2. College or Professional School and Department
3. Date of first appointment to ECU
4. Present rank and date at which present rank was established
5. Educational background: degrees, dates conferred, and institutions. Indicate the status of any degree program in process.
Include the following where applicable:
 - a. Postgraduate Training Fellowships
 - b. Residencies
 - c. Traineeships
6. Administrative appointments or special assignments (list positions and dates in reverse chronological order with percentage of time assigned)
7. Professional credentials (certifications and licensures)
8. Professional employment history (list positions, ranks and dates of appointments in reverse chronological order)
9. Formal continuing education for professional development (courses, seminars, institutes, etc. and dates in reverse chronological order) School of Medicine (clinical staff): List all postgraduate Continuing Medical Education completed in the last 3 years (in reverse chronological order).

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

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

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

7. Medical Education:

- a. Undergraduate medical student teaching, including didactic lectures, clinical teaching, conferences laboratories, student advising, and student preceptorships.
- b. Postgraduate medical teaching including clinical teaching and continuing medical education.
- c. Curriculum development in medical education.

C. Research/Creative Activity:

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

- b. Grants/proposals through the Division of Institutional Advancement
 - c. University Grants
 - d. Reports to granting agencies: list agency (ies)
- D. Clinical Practice: For those faculty who provide patient care as a part of their duties, a patient care portfolio should be included to document their clinical practice activities. The patient care portfolio should include the following information:
- 1. Summary of relevant activities in clinical practice and evaluations of patient care quality.
 - 2. Noteworthy accomplishments and practices
 - 3. Extraordinary duties assigned or elected in clinical practice
 - 4. Development and/or evaluation of clinical services and programs
 - 5. Community service and outreach
- E. Professional and University Service (list by year, in reverse chronological order)
- 1. University: Committee and special assignments
 - a. Unit: name of committee(s), role on committee(s) (member, chair, etc.), inclusive dates of service
 - b. Division: name of committee(s), role on committee(s) (member, chair, etc.), inclusive dates of service
 - c. University-wide: name of committee(s), role on committee(s), inclusive dates of service
 - d. UNC system: name of committee(s), role on committee(s), inclusive dates of service
 - e. Special assignments: title or role, brief description of assignment, inclusive dates of service
 - 2. Non-university committees and service:
 - a. Local
 - b. Regional
 - c. State
 - d. Other
 - e. Clinical Agency Committees and/or Hospital committees (Health Sciences Division)
 - 3. Professional Organizations (list by year in reverse chronological order)
 - a. Memberships in professional organizations: list memberships
 - b. Offices held or other official functions
 - President/Chair: list organization(s)
 - Other office(s): list office and organization(s)
 - c. Organization of meetings, workshops, and symposia: list organization(s)
 - d. Presentations (other than research) at meetings, workshops, and symposia: list organization, date, and title of presentation(s)
 - e. Service as editor or editorial board member: list board(s), list role(s)
 - f. Items reviewed, refereed, or juried for scholarly publications: list publication(s)
 - g. Items reviewed, refereed, or juried for granting agencies: list agency (ies)
 - h. Evaluation of faculty for other universities (peer review): list institution(s)

- i. Consultantships: list client, specify whether paid or unpaid, briefly define activity
- 4. Other professional service
- 5. Grants (listed by year in reverse chronological order) in support of professional service. Provide a list of all grants applied for, listing for each the source, amount requested, title, and co-investigators. Designate status: awarded (including amount awarded if different from request), pending, rejected.
 - a. Grants/proposals through Office of Sponsored Programs
 - b. Grants/proposals through the Division of Institutional Advancement
 - c. University Grants
 - d. Reports to granting agencies: list agency(ies)
- F. Honors and other noteworthy activity not covered above
- G. Administrative Activities
 - 1. Noteworthy accomplishments and practices in administration
 - 2. Extraordinary duties assigned or elected
 - 3. Summary of administrative evaluations
- H. Community service: Include organization, dates, offices held.
- I. Other: Include additional information deemed pertinent to this cumulative report.
- J. Date this cumulative report was completed.

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

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

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

Name of Appointee: _____

Department: _____ School/College: _____

Current Rank or Title: *(if applicable)* _____ Proposed Rank or Title: _____

Indicate Type of Action: *(select all that apply)*

Administrative Appointment:

New Faculty Appointment:

Promotion:

Conferral of Tenure:

Other:

(describe) _____

Distinguished Professorship:
(provide name of professorship) _____

Effective Date of Action: _____

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

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

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

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

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

Section II. To be completed by the faculty member.

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

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

3. Scholarly & Creative Activities:

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

4. Membership in professional organizations:

5. Professional service on campus:

6. Professional service off campus:

**Approved: Faculty Senate Resolution #07-01
March 1, 2007
East Carolina University Chancellor**

Amendments: Faculty Senate Resolution #08-27, May 2008