

**Tenure and Promotion (4.6.4), Annual Evaluation Towards Tenure (4.6.5), and Annual Review of Non-Tenure Track Faculty (4.6.6)  
Digital Submission Guidebook 2022-2023**

No later than September 1, annually	<ol style="list-style-type: none"> <li>1) College opens a folder for each candidate.</li> <li>2) College shares permission with candidates for their individual folder.</li> <li>3) Candidates copy the organized applications and materials into the candidate folder for submission to the department.</li> </ol>
Department Review –  At stated deadline for receipt of candidate materials by the Department	<ol style="list-style-type: none"> <li>1) College closes permissions for candidates.</li> <li>2) College opens candidate folder to members of the Department Committee (“Viewer”) and Chair (“Editor”).</li> <li>3) Department Committee submits evaluation and/or forms with necessary signatures to Chair.</li> <li>4) College closes folder to Department Committee.</li> <li>5) Chair creates a subfolder in the main candidate folder for recommendations and uploads all Department evaluations, forms, and any other applicable documentation with necessary signatures.</li> <li>6) College closes folder to Department Chair.</li> </ol>
College Review –  At stated deadline for receipt of Department-level recommendations by the College	<ol style="list-style-type: none"> <li>1) College opens candidate folder to members of the College Committee (“Viewer”) (where applicable) and Dean (“Editor”).</li> <li>2) Where applicable, College Committee submits evaluation/forms with necessary signatures to the College Dean.</li> <li>3) College closes folder to College Committee.</li> <li>4) Dean uploads all evaluations/forms with necessary signatures to the individual candidate’s recommendation folder.</li> <li>5) The college uses the checklist provided by the Provost office to review each folder for accuracy and completeness.</li> </ol>
Provost-level review –  At stated deadline for receipt of all Dean/College recommendations	<ol style="list-style-type: none"> <li>1) College opens a folder containing candidate folders related to the Provost’s Office (“Editor”) via <a href="mailto:faculty.evaluation@eku.edu">faculty.evaluation@eku.edu</a>.</li> <li>2) Provost’s Office uploads each evaluation/forms with necessary signatures to the individual candidate’s recommendation folder.</li> <li>3) College closes folder to the Provost’s Office.</li> </ol>
At the close of the Spring term	<ol style="list-style-type: none"> <li>1) College downloads a copy of all files from the candidate folders that should become part of the faculty member’s permanent college file.</li> <li>2) College deletes candidate folders.</li> </ol>

The digital folder made available via the ECU Google Shared Drive is “owned” by the College and serves as the submission portal for the faculty member’s organized application and materials. This option is endorsed and supported by ECU IT and provides the following benefits:

- Secured access and secured server platform
- Accessible on campus and remotely
- Allows for synchronous, distanced review of materials

- Offers the ability to designate and manage membership permissions (e.g., viewer-only, editor, etc.)

More information about the Google Drive can be found here:

<https://support.google.com/a/users/answer/9300017>.

\*Chairs and Deans may assign designees as appropriate.

## APPENDIX A: Frequently Asked Questions (FAQs)

1. Can I have my candidate folder permissions shared to an email address other than my EKU email address?
  - a. No. Your EKU email address has two-factor authentication (2FA) security and serves as one way of validating your submission of your application and materials.
2. Can supporting evidence such as a book be presented in a digital format?
  - a. Yes. Often, your publisher can provide a PDF document with an exclusionary watermark to authors who verify that the PDF will be used for internal use only. Other options may also be available, please contact your liaison in University Libraries for a consultation.
3. Since everything is online, can a link to an article or artistic production be submitted in place of a digital file of it?
  - a. It is necessary to upload the entire scholarly or artistic endeavor, just like you would in the hard-copy binder system. Images, sounds recordings, and other media can be digitized to represent artistic endeavors.
4. What is the recommended file format and naming convention for uploading documents to the shared folder?
  - a. Uploaded files must be in PDF format, where possible.
  - b. Documents should be named without spaces and standardized as follows:
    - i. LastNameFirstInitial\_Content
      1. *for example, WiesJ\_Teaching\_Evaluations*, etc.
  - c. Please do not upload files in Word, Excel, or PowerPoint.
  - d. Save Word, Excel, other file formats, web pages, etc. as a searchable PDF where possible. URL links to external sites can be used in the PDF Document.
  - e. We are not implementing links directly from one document to another within the shared drive at this time.
5. Where can high-volume documents be scanned on campus?
  - a. If your department does not have a copier/scanner (for example, a Kyocera high capacity machine), the Library has a dedicated scanning station located on the second floor across from the circulation desk. Scanning is free. However, this scanner only scans to email and email may have limits on file sizes, so be prepared to scan in batches.
6. Who is the contact for questions about technology and software such as Adobe Acrobat?
  - a. Please contact the IT Service Desk at 859-622-3000.
7. Once the College closes folder permissions for the candidate, can the candidates be given permission to access these folders again if necessary?
  - a. Yes, College designees can open the folders again if necessary (for clarifications, review of materials, or to revise forms as requested).
  - b. Colleges can assign restrictions to documents within folders to prevent editing or modification.
8. Once the College closes permissions for Committees, can folders be reopened or shared to respond to questions or appeals?
  - a. Yes, College designees can open the folders again if necessary (for clarifications, review of materials, or to revise forms as requested).

- b. Colleges can assign restrictions to documents within folders to prevent editing or modification.
9. How will outcomes of each level of review be communicated to the candidate?
- a. Communication to candidates will follow the procedures established in Policy 4.6.4. and 4.6.5.
10. If we choose to use digital signatures, how can we capture necessary signatures in a digital process?
- a. ECU IT has licenses for DocuSign, which is the recommended method for digital signatures.
  - b. ECU IT has a collection of licenses for Adobe Creative Cloud, which includes Adobe Acrobat Pro DC. Adobe Acrobat Pro DC allows users to sign a document using an inserted signature or stylus, and signatures can be added to the same document asynchronously.
  - c. IT can issue licenses to deans, chairs, associate deans, committee members, etc. Individuals can contact the IT Service Desk for information about obtaining one of the ECU licenses (622-3000).
11. I am a non-tenured tenure-track faculty member who is applying for promotion. Do I need to complete two separate digital portfolios?
- a. Non-tenured tenure-track faculty members who are applying for promotion (but not tenure) must also undergo the regular annual evaluation process.
  - b. Per policy 4.6.5, “non-tenured tenure-track faculty applying for promotion shall submit an application for promotion that shall include all documentation for the annual self-evaluation and shall be additionally evaluated under Policy 4.6.4, Promotion and Tenure. Evaluation of these faculty members shall include committee recommendations for both annual evaluation and promotion.” (p. 4)
  - c. Faculty who fall into this category shall complete all components of the digital portfolio for promotion and shall also include the completed cover page for annual evaluation in Folder 1 of the promotion application.
  - d. Reviewers shall complete recommendations for both annual evaluation and promotion.
  - e. Reappointment recommendations for faculty in their second year should be expedited to comply with the appropriate review timeline for second-year faculty. In such cases, review of the promotion application may follow a separate schedule from the annual faculty review.
  - f. If a faculty member is applying for tenure in addition to promotion, only policy 4.6.4 applies. Tenure evaluation constitutes annual review.

## Appendix B: Organizational Schema for Tenure and/or Promotion Digital Portfolios (policy 4.6.4)

Before preparing and organizing your materials, you should consult the college for any college-specific formatting guidance. Additionally, please consult the [Tenure and Promotion Policy \(4.6.4\)](#) as well as college and department criteria, policies, and leadership. Once you have finalized preparation and organization of your application and materials on your hard drive, you will copy them into the ECU Google Drive folder when it is provided to you in order to submit your application to the department.

**\*\*For non-tenured tenure-track faculty also submitting an application for promotion, please refer to the FAQs in Appendix B.**

MAIN FOLDER – Last Name\_First Name\_Action

*Examples:* Wies\_Jennifer\_Tenure  
Tate\_Candace\_Tenure and Promotion

SUBFOLDER 1 - Application and Informational Materials

- a) Copy of Letter of Intent
- b) Copy of initial terms of appointment (*including any agreed-upon exceptions and justification for a non-standard terminal degree*)
- c) Curriculum Vitae
- d) Application and Self-Evaluation on Appropriate Form
  - i) <https://policies.eku.edu/policy-464-tenure-and-promotion-forms>

SUBFOLDER 2 - Supporting Materials

- 1) Informational Materials
  - a) Departmental promotion and tenure standards
  - b) Student opinion questionnaire (*if administered instead of eXplorance Blue*)
  - c) Description of department's secondary systematic method
- 2) Prior non-tenured annual evaluations and reports (*in reverse chronological order*)
- 3) Teaching Documentation (*such as*)
  - a) Teaching evaluation instrument report
  - b) Summary data of secondary systematic method
  - c) Peer evaluations
  - d) Representative syllabi for courses taught
  - e) Other document of teaching effectiveness
- 4) Scholarship Documentation (*such as*)
  - a) Copies of publications
  - b) Letters of acceptance from editors and publishers for accepted/forthcoming publications
  - c) Copies of evaluations for performances, etc.
  - d) Published abstracts of presentations
  - e) Other evidence of quality scholarly and creative activities
- 5) Service Documentation (*such as*)
  - a) Evidence of service to the department
  - b) Evidence of service to the college
  - c) Evidence of service to the University
  - d) Evidence of service to the profession (*including professionally-related service to the community and other external groups.*)

SUBFOLDER 3 (*created by the department chair in ECU Google Drive*) – Recommendations

- a) Current year department-level evaluation, recommendation forms, and additional documentation, where applicable (*uploaded by department chair*)

- b) Current year college-level evaluations/forms (*uploaded by dean*)
- c) Current year Provost evaluations/forms (*uploaded by Provost Office*)

## Appendix C: Organizational Schema for Annual Review Towards Tenure Digital Portfolios (policy 4.6.5)

Before preparing and organizing your materials, you should consult the college for any college-specific formatting guidance. Additionally, please consult the [Non-Tenured Tenure-Track Faculty Evaluation Policy \(4.6.5\)](#) as well as college and department policies, criteria, and leadership. Once you have finalized preparation and organization of your application and materials on your hard drive, you will copy them into the EKU Google Drive folder when it is provided to you in order to submit your application to the department.

**\*\*For non-tenured tenure-track faculty also submitting an application for promotion, please refer to the FAQs in Appendix B.**

MAIN FOLDER – Last Name\_First Name\_Action

*Example:* Wies\_Jennifer\_Annual Evaluation Year 5

SUBFOLDER 1 - Application and Informational Materials

- a) Copy of initial terms of appointment (*including any agreed-upon exceptions and justification for a non-standard terminal degree*)
- b) Curriculum Vitae
- c) Application and Self-Evaluation on Appropriate Form (*first page only for Year 1 faculty*)
  - i) <https://policies.eku.edu/policy-465-annual-evaluation-non-tenured-tenure-track-faculty-forms>

SUBFOLDER 2 – Supporting Materials

May include, but is not limited to, the following (refer to Department and College policies):

1. Teaching
  - a. teaching philosophy
  - b. course syllabi
  - c. assignments
  - d. descriptions of unique methods or experiments
  - e. student evaluations
  - f. peer observation/evaluation reports
  - g. published textbooks
  - h. new courses developed
  - i. teaching awards/recognitions
  - j. alumni survey results
2. Scholarly/Creative Activity
  - a. published works
  - b. papers or other presentations (including evaluations)
  - c. documentation of creative performances or exhibitions
  - d. grants/contracts awarded
  - e. awards/recognitions
3. Service
  - a. letters from committee chairs
  - b. minutes of committee meetings
  - c. evidence of service on an editorial board
  - d. awards/recognitions
  - e. evidence of effective advising

SUBFOLDER 3 (*created by the department chair in EKU Google Drive*) – Recommendations

- a) Current year department-level evaluation, recommendation forms, and additional documentation, where applicable (*uploaded by department chair*)
- b) Current year college-level evaluations/forms (*uploaded by dean*)
- c) Current year Provost evaluations/forms (*uploaded by Provost Office*)

## **Appendix D: Organizational Schema for Annual Review of Faculty Not on Tenure Track Digital Portfolios (policy 4.6.6)**

Before preparing and organizing your materials, you should consult the college for any college-specific formatting guidance. Additionally, please consult the [Non-Tenure Track Faculty \(Full-Time\) Evaluation policy](#) as well as college and department policies, criteria, and leadership. Once you have finalized preparation and organization of your application and materials on your hard drive, you will copy them into the ECU Google Drive folder when it is provided to you in order to submit your application to the department.

MAIN FOLDER – Last Name\_First Name\_Action

*Example:* Wies\_Jennifer\_NTT Annual Evaluation

SUBFOLDER 1 - Application and Informational Materials

- a) Copy of initial terms of appointment (*including any agreed-upon exceptions and justification for a non-standard terminal degree*)
- b) Curriculum Vitae
- c) Application and Self-Evaluation on Appropriate Form
  - i) <https://policies.eku.edu/evaluation-non-tenure-track-faculty-forms>

SUBFOLDER 2 – Supporting Materials

Refer to Department and College policies for evaluation of non-tenure track faculty.

SUBFOLDER 3 (*created by the department chair in ECU Google Drive*) – Recommendations

- d) Current year department-level evaluation, recommendation forms, and additional documentation, where applicable (*uploaded by department chair*)
- e) Current year college-level evaluations/forms (*uploaded by dean*)
- f) Current year Provost evaluations/forms (*uploaded by Provost Office*)