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APPENDIX C: Personnel Policy and Procedure for the Faculty of East Carolina University<sup>1</sup>

I. Selection and Appointment of New Faculty:

- A. Determination of Number and Nature of Positions Needed:  
Allocation of positions is the prerogative of the Vice Chancellor for Academic Affairs, the Dean of the Medical School and the Vice Chancellor for Student Life, as appropriate.

The unit administrator is responsible for recommending through administrative channels to the Vice Chancellor for Academic Affairs, the Dean of the School of Medicine, or the Vice Chancellor for Student Life the number and nature of positions needed to carry on the functions of the unit.

The unit administrator, in keeping with the mission of the unit and the institutional context, shall follow the provisions of the unit code in making recommendations concerning the number and nature of positions needed.

- B. Selection Procedure:

The unit administrator shall notify the unit personnel committee of the number and nature of positions allotted to the unit. The actual selection process must then proceed in accordance with Section III D of Tenure Policies and Regulations of the Faculty Manual, Appendix K of the Faculty Manual, the most recently revised Affirmative Action Plan, and applicable unit code provisions.

- C. General Criteria<sup>2</sup>:

For appointment, as well as reappointment and promotion, the faculty member is evaluated on potential or achievements in:

1. Teaching
2. Creative activity/research
3. Service to the University, the profession, and the community.

1. Teaching:

East Carolina University expects each member of the faculty to have knowledge of subject matter commensurate with one's teaching assignment, to maintain awareness of developments in one's discipline, and to communicate to students one's knowledge of and interest in the discipline. The faculty

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<sup>1</sup>For policies and procedures dealing with persons on fixed term appointments, see Appendix D.

<sup>2</sup>These criteria are not designed to be used for persons with administrative rank to evaluate their administrative service. Criteria for that purpose shall be developed by proper administrative authority.

member will encourage students in responsible and careful inquiry, in appreciation of the interrelation of various disciplines, and in recognition of the uses of learning and the value of the educated mind.

2. Creative activity/research:

East Carolina University encourages and supports the continuing efforts of faculty to develop a deeper appreciation of the importance of professional competency acquired through scholarship, research, and other creative activities appropriate to one's discipline. A faculty member's research and creative activities shall reflect the high professional standards incumbent upon those who enjoy full academic freedom; such activities must be measured by standards of quality, not merely by quantity.

3. Service:

East Carolina University considers service to the University, the academic profession, and the community as an important aspect of academic performance. (See Section III.)

D. Specific Criteria for Appointment:

Among the many qualifications which may be considered when making appointments, the following are essential:

Instructor - Evidence of character traits which contribute decidedly to the professional advancement of the well-trained person; evidence of a sound educational background for the specific position, including as a minimum the Master's Degree or equivalent as evaluated by the academic unit and affirmed by the appointing officer; and evidence of teaching capacity.

Assistant Professor - Qualifications of the previous rank; an appropriate terminal degree, as evaluated by the academic unit and affirmed by the appointing officer and the profession concerned, and evidence of a potential for continued professional growth which shall be in part measured by teaching effectiveness, creative activity/research, and membership in professional organizations.

Associate Professor - Qualifications of the previous ranks; evidence of quality teaching at the university level; a record of creative or research activity resulting in publication or comparable results; a record of participation in professional organizations; effective service on departmental, school, college, academic or administrative committees; and a record of effective service to the profession.

Professor - Qualifications of the previous ranks; an established record of excellence in teaching; a record of significant publication or creative activity, or research activity; a record of significant service to the profession.

Notwithstanding any previous statement that has appeared herein, competence for appointment to a specific rank may be attested to by advanced study, culminating in appropriate graduate degrees, or by extensive work experience in the teaching fields or in a professional practice which is demonstrably of highest quality.

E. Initial Appointment:

Appointment to the faculty is made by the Chancellor or his designee.<sup>3</sup> Any action conferring permanent tenure with the initial appointment requires approval of the Board of Trustees and the Board of Governors. The initial contract shall be signed by the Chancellor, or his designee, and the appointee. This contract shall be accompanied by and elaborated on by a letter signed by the Chancellor, or his designee, and a letter signed by the unit administrator.

The Chancellor's letter shall specify rank or title; salary; length of appointment and tenure status, whether fixed term, probationary term appointment, or appointment with permanent tenure (See Appendix D, Section III, c.1). The unit administrator's letter shall establish the specific conditions of employment.

II. A. Assignment of Teaching Responsibilities:

Prior to making final faculty assignments and at least two weeks prior to the beginning of each semester, the unit administrator shall apprise each unit faculty member, in writing, of the duties and responsibilities in teaching, after soliciting faculty teaching preferences. If changes in a faculty member's assignment become necessary, the faculty member shall be notified of such changes prior to the effective date of the amended assignment.

B. Assignment of Released Time:

Faculty members who are to be granted released time from teaching shall be informed in writing of the purpose of the reduced teaching assignment.

III. Evaluation:

Each faculty member with a probationary term appointment and each permanently tenured faculty member shall receive annually an evaluation of his/her performance for that year by the unit administrator. This annual evaluation shall: (a) be in writing; (b) state the percentage of salary increment available to the unit to be recommended by the unit administrator for the faculty being evaluated; (c) be discussed with the faculty member prior to being sent to any other administrator or placed in the faculty member's personnel file; and (d) shall be signed and dated by the unit administrator and the faculty member, who may attach to the evaluation a concise comment regarding the evaluation. The signature of the faculty member signifies that the faculty member has read, but does not necessarily concur in, the evaluation.

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<sup>3</sup>References to the Chancellor's designee shall include and be limited to the Vice Chancellor for Academic Affairs, Vice Chancellor for Student Life, or the Dean of the School of Medicine.

The unit administrator shall forward to each faculty member a copy of that member's annual evaluation within ten (10) days after completing the evaluations of unit members.

The unit administrator's annual performance evaluation of faculty members shall employ criteria approved by the unit and by the Vice Chancellor for Academic Affairs, the Dean of the Medical School, and the Vice Chancellor for Student Life, as appropriate, which shall be based upon that year's assigned duties and responsibilities and shall take into account the nature of the assignments in terms of:

(a) Teaching effectiveness:

The quality of teaching must be evaluated by means of:

- (1) data from surveys of student opinion, when such data have been gathered in accordance with established procedures of the Department or the University which guarantee the integrity and completeness of said data. As part of the effort to evaluate the teaching effectiveness of faculty members, each unit shall either: develop and use its own instrument(s) as approved by the Chancellor to determine student opinion of teaching effectiveness, or utilize the instrument developed by the Committee for Teaching Effectiveness to determine student opinion of teaching effectiveness.

In addition, the following may be used:

- (1) peer evaluation, employing written procedures approved by the Chancellor;
- (2) procedures provided for in Unit Codes when recommended by the Faculty Senate and approved by the Chancellor.

(b) research and creative activities:

(c) patient care;

- (d) services rendered on departmental, school, college, and university committees, councils, and senates; service to professional organizations; and service to local, state and national governments; contributions to the development of public forums, institutes, continuing education projects, patients' services and consulting in the private and public sectors; and

(e) other responsibilities as may be appropriate to the assignment, such as academic advising and other professional services.

The relative weight given to teaching effectiveness, research/creative activity, and service in personnel decisions shall be determined by each unit code. In no case, however, shall service be weighted more heavily than either teaching effectiveness or research/creative activity.

IV. Professional Advancement:

Promotion is a means through which professional achievement is encouraged, recognized and rewarded by the University. Evaluation of faculty for purposes of promotion shall be governed in each unit by regulations established in and under the unit's code of operations subject to Appendix C. With the approval of the Vice Chancellor for Academic Affairs, the Dean of the Medical School, and the Vice Chancellor for Student Life, as appropriate, specific regulations governing evaluation of faculty for purposes of promotion may vary from unit to unit. As a minimum each unit shall:

- (a) apply published criteria in teaching and creative activity and service for evaluating faculty for promotion;
- (b) make available procedures which will permit each faculty member to report achievements annually or on a more frequent basis;
- (c) assure each faculty member the right to discuss one's candidacy with the unit administrator and/or the personnel committee at any time, and
- (d) notify each faculty member within four (4) days of receipt of the Administration's call for promotion recommendations.

Upon request by the Faculty member, the unit administrator and the unit personnel committee shall evaluate the faculty member for promotion. Following such evaluation, the unit administrator and the personnel committee shall inform the faculty member of their respective recommendations.

Although other established criteria may be considered, promotion shall be based primarily upon the faculty member's total demonstrated professional competence and achievement. Procedures to be followed for promotion are found in Appendix D, Section III D. 4. Among the many qualifications which may be considered when making recommendations for promotion, the following are essential:

Assistant Professor - Qualifications necessary to be appointed to the rank of Instructor, an appropriate terminal degree, as evaluated by the academic unit and affirmed by the appropriate administrative officer and the profession concerned; a record of progress toward teaching excellence; and evidence of a potential for continued professional growth which shall, in part, be measured by creative activity/research and membership in professional organizations.

Associate Professor - Qualifications of the previous rank; evidence of teaching excellence; a record of creative or research activity resulting in publication or comparable productivity; a record of participation in professional organizations; and effective service on departmental, school, college, academic or administrative committees.

Professor - Qualifications of the previous ranks; an established record of excellence in teaching; a record of significant publication, creative activity, or research activity; a record of significant service to the profession, such as contributions to the development of public forums, institutes, continuing education projects, patients' services and consulting in the private and public sectors; and a record of significant contribution as a member of academic schools, colleges, or administrative committees.

Promotion usually should be accompanied by a salary increment which shall be separate from any and all other salary increments to which the individual may be entitled.

Notwithstanding any previous statement that has appeared herein, competence for promotion to a specific rank may be attested to by advanced study, culminating in appropriate graduate degrees, or by extensive work experience in the teaching fields or in a professional practice which is demonstrably of highest quality.

## V. Salary

### A. Initial Salary

Initial salary shall be based on degree attainment, pertinent experience, professional activity, scholarly publication or its equivalent, and level of responsibility, consideration being given to the salaries of personnel presently in the unit and salaries within the discipline in comparable institutions.

### B. Determination of Annual Salary Increments

The unit administrator shall recommend annual salary increments to appropriate administrative officials in accordance with requirements imposed by the North Carolina General Assembly, the University of North Carolina Board of Governors, and the University Administration, and shall employ any additional criteria that have been established in this Appendix, in unit codes, or in policies required by unit codes. Basic criteria for assessing merit shall include the degree of teaching excellence; creative activity and research; service to local, state, and national governments; as well as contributions to the development of public forums, institutes, continuing education projects, and patients' services. The unit administrator shall report annually to the unit, in dollar amounts and percentages, the total increment allotted, mean salary increment, and range in salary increments for the unit. Each faculty member shall be informed by the unit administrator of any salary increment recommendations made on behalf of the faculty member by the unit administrator.

## VI. Personnel/Evaluation Files

There shall be one master file in which shall be kept all written materials used for the purpose of faculty evaluations. When evaluations and/or personnel decisions are made, only those documents which are contained in that file may be used. Faculty members shall be notified, upon request, of the location of the personnel/evaluation file and the identity of the custodian. A faculty member may examine the file upon reasonable advance notice under such conditions as are necessary to insure the integrity and safekeeping of the file. A faculty member may obtain copies of any materials in the personnel/evaluation file and may attach a concise statement in response to any item therein. A person designated by the faculty member may examine that employee's personnel/evaluation file with the written authorization of the faculty member. No material obtained from an anonymous source shall be placed in the personnel/evaluation file, except for data from student opinion surveys. Data from student opinion surveys shall be used in the annual evaluation and shall be submitted by the authorized surveying agent to the faculty member and the unit administrator. Evaluative materials or summaries thereof prepared by peer committees as part

of a regular evaluation system may be placed in the personnel/evaluation file when signed by a representative of the committee. Faculty members must be made aware of any change in their personnel/evaluation file. The procedures of Article 7 of Chapter 126 of the General Statutes of North Carolina shall govern matters relating to personnel files.

VIII. Amendment Procedure

Amendments to Appendix C, Personnel Policy and Procedure may be proposed by any full-time member of the faculty, by any faculty committee, or by any member of the administration of East Carolina University. The proposed amendment(s) shall be submitted to the Faculty Senate for consideration and shall be handled as any other item of legislation which comes before the Senate. Such proposed amendments, if approved by the Senate, shall be submitted to the Chancellor.