



MEMORANDUM

School of Social Work
Ragsdale Building

919-757-4383
919-757-4196 Fax

Office of the Dean
757-4208

Office of the Associate Dean
for Undergraduate Studies
757-4192/4194

Office of the Associate Dean
for Graduate Studies
757-4199/4198

Office of Field Education
757-4211/4210

Office of the Director
of Criminal Justice
757-4205

TO: Faculty Senate

FROM: Gary R. Lowe, Ph.D. *G. R. Lowe*
Dean, School of Social Work
Senate Representative for the Council of Deans

DATE: February 22, 1994

RE: FACULTY AFFAIRS COMMITTEE REPORT,
ATTACHMENT 2, "REVISIONS TO APPENDIX C.
PERSONNEL POLICIES AND PROCEDURES FOR THE
FACULTY OF ECU" AND PROPOSED AMENDMENTS
FROM THE COUNCIL OF DEANS

Three amendments are proposed: two amendments to Appendix C, and one to Appendix L.

1. Original Appendix C, Section III, page C-4.

"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 vice chancellor for health sciences, or the vice chancellor for student life, as appropriate, which shall be based upon that year's assigned duties and responsibilities (except as earlier noted, for the previous year's Spring semester survey of student opinion) and shall take into account the nature of the assignments in terms of..."

1a. Amend With -- [New language caps & underlined]

"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 vice chancellor for health sciences, or the vice chancellor for student life, as appropriate. THE APPROVED CRITERIA USED IN THE UNIT ADMINISTRATOR'S ANNUAL PERFORMANCE EVALUATION OF FACULTY MEMBERS SHALL BE CONTAINED IN THE UNIT CODE APPROVED BY THE CHANCELLOR (SEE APPENDIX L, SECTION B). THE ANNUAL PERFORMANCE EVALUATION

MEMO
Faculty Senate
February 22, 1994
Page Two

OF FACULTY MEMBERS shall be based upon that year's assigned duties and responsibilities (except as earlier noted, for the previous year's Spring semester survey of student opinion) and shall take into account the nature of the assignments in terms of..."

2. Amend -- Original Appendix C, Section IV, page C-5, 1st paragraph with -- [New language in caps & underlined]

"...Evaluation of faculty for purposes of promotion shall be governed in each unit by regulations established in and under the units code of operations subject to Appendix C. With the approval of the vice chancellor for academic affairs, the vice chancellor for health sciences and dean of the School of Medicine, 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. THE CRITERIA ESTABLISHED FOR PROMOTION SHALL BE CONTAINED IN UNITS CODE APPROVED BY THE CHANCELLOR (SEE APPENDIX L, SECTION C). As a minimum each unit shall."

3. Amend Appendix L, Section C, 3e -- [New Text Caps & Underlined]

e. a section, PREVIOUSLY APPROVED BY THE APPROPRIATE VICE CHANCELLOR, that states regulations, criteria, and weights governing the evaluation of faculty members annually and otherwise for all personnel actions, including recommendations for merit awards, reappointment, promotion, and the award (sic) of permanent tenure (see Appendices C and D).

Rationale for the above suggested changes --

The proposed amendments are based on three rationales:

1. The above amendments to the ECU Faculty Manual are responsive to the requirements stipulated in Administrative Memorandum #338.
2. The Amendments maintain the necessary role of the chief academic officer (vice chancellor) in the establishment of faculty evaluation criteria.
3. The above amendments provide consistency between Appendices C, L, and pending D.

MEMO
Faculty Senate
February 22, 1994
Page Three

POINT ONE:

UNC GA's Memorandum 338 called for explicit criteria being established for faculty personnel matters and that these criteria be explicitly stated in appropriate documents and at critical times relating to faculty hires, reappointments etc. The original Faculty Affairs Committee proposed amendments to Appendix C, Section III, page C-4 go well beyond this requirement by removing the approval role of the relevant chief academic officer (vice chancellors) in matters of faculty evaluation.

The proposed alternative amendments offered here for Appendix C, are responsive to Memorandum #338 while maintaining the integrity of the chief academic officer's role in matters of faculty evaluation.

POINT TWO:

The second rationale is one of both principle as well as organizational matters concerning issues of responsibility and authority.

The principle is alluded to in #1 above: the chief academic officer for the university is the role of vice chancellor. Therefore, it is both necessary and appropriate that this officer be involved with the unit faculty and unit administrator in the development of evaluation criteria.

From the organizational perspective, this involvement is important because the vice chancellor's role is central to the application and maintenance of these standards. The latter point relates to the fact that the office of vice chancellor is central to the ultimate decisions regarding faculty performance. A review of the pending Appendix D will reveal a text replete with references to the office of vice chancellor in the overall process of faculty evaluation, particularly regarding such matters as promotion and tenure. To remove, explicitly, the vice chancellor from the process of establishing, with units and unit administrators, valid and consistent faculty evaluative criteria and to replace this task with a process of informal sharing and/or consultation seems, at best ill-advised. Matters of faculty grievances surrounding non-conferral of tenure, as an example, are seldom matters of informal resolution and the office of vice-chancellor is almost always required to be directly involved in an official capacity.

Again, the Faculty Affairs Committee's proposals removes the office of vice chancellor from this process, and goes beyond the mandate of Memorandum #338. In my meeting with the Faculty Affairs Committee, their response to this point was to state that they believed that

MEMO
Faculty Senate
February 22, 1994
Page Four

Appendix L was sufficient to addressing this matter and their text revisions to Appendix C was an effort to bring the various Appendices into congruence. Further, the Faculty Affairs Committee believed that the original proposal as contained in this memo, not including the new revision to Appendix L, would open the University to the risk of being vulnerable to a charge of "material procedural irregularity" in matters of faculty personnel matters, particularly promotion and tenure. The proposed amendments here, particularly the one relating to amending Appendix L, are responsive to this concern and provide consistency between Appendices.

POINT THREE:

Consistency between elements of the ECU Faculty Manual is essential. However, if the amendments to Appendix C proposed by the Faculty Affairs Committee were to be adopted, it would necessitate a major reexamination of the current proposed Appendix D beyond those matters currently being reviewed by the Faculty Governance Committee. A review of the current Appendix D revised draft (2/18/94) reveals a consistent pattern of referencing a critical decision making role for the vice chancellors in matters of faculty employment, evaluation and particularly promotion and tenure. Throughout the Appendix D draft, many critical processes such as probationary term appointments, formation of unit committees for tenure etc. when stipulated membership requirements cannot be met in a unit, and matters relating to concurrence or non-concurrence for P & T call for the appropriate vice chancellor to be directly involved in a decision making role. Therefore, following the rule of consistency, the FAC recommendations would require the removal of any references in Appendix D to the VC having any role to exercise any authority between the unit, college etc. and the chancellor.

Therefore, the proposed amendments to Appendix C and L contained in this document meet the test required by Memorandum #338, maintains the role of the university's chief academic officer (vice chancellors), and assures internal consistency of ECU Faculty Manual Appendices.