COVER/SIGNATURE PAGE

REVISED UNIT CODE OF OPERATIONS
UNIT NAME: Academic Library Services
SCHOOL/COLLEGE OF: N/A
EAST CAROLINA UNIVERSITY

Revised Unit Code Approval

1. Approved by the applicable code unit voting faculty members:
   Chair, Code Unit Committee ____________________________ Date: 11/12/2020
   Unit Administrator ____________________________ Date: 11/12/2020

2. Submitted to Next Higher Administrator for advice:
   Administrator ____________________________ Date: 11/13/2020

3. If changed, reapproved by applicable code unit voting faculty members*:
   Chair, Code Unit Committee ____________________________ Date: ___________
   Unit Administrator ____________________________ Date: ___________

4. Reviewed/recommended by Faculty Senate Unit Code Screening Committee:
   Committee Chair ____________________________ Date: 01/22/2021

5. Approved by the East Carolina University Faculty Senate: FS Resolution #21-05
   Chair of the Faculty ____________________________ Date: 2/24/2021

6. Approved by East Carolina University Chancellor/or designee:
   Chancellor ____________________________ Date: 03/15/2021
   (Effective Date of Unit Code is the date of the Chancellor's Signature)

Effective Date of Code: 03/15/2021

* Any changes to the code that are made after the original approval by at least two-thirds of the applicable code unit voting faculty members, in response to advice received from the next higher administrator, must be approved again by at least two-thirds of the applicable code unit voting faculty members.

Editorially revised 10-11-19
UNIT CODE OF OPERATIONS FOR ACADEMIC LIBRARY SERVICES

Section I    PREAMBLE

A. This Code allows for EHRA (Exempt from the Human Resources Act) and SHRA (Subject to the Human Resources Act) personnel participation in and establishes procedures for the Unit’s internal affairs and is consistent with all applicable parts of the East Carolina University (ECU) Policy Manual and the East Carolina University (ECU) Faculty Manual. This document reflects the importance of collegiality and cooperation among EHRA personnel, SHRA personnel, and administrators to ensure that Academic Library Services (ALS) accomplishes its mission.

B. Objectives/Mission

Academic Library Services is the intellectual heart of East Carolina University. We serve ECU’s campus and distance education communities, act as a resource for the people of eastern North Carolina, and support ECU’s contributions to the research community worldwide. We connect people to information and empower their lifelong learning by developing robust collections, superior services, and people-friendly spaces.

Section II    FACULTY

A. Definitions of the Unit’s Faculty

The Faculty of ALS consists of all persons with University appointments who hold regular academic rank or title in the Unit as Assistant Professor, Library Assistant Professor, Associate Professor, Library Associate Professor, Professor, and Library Professor. (See ECU Faculty Manual, Part VIII and Part IX)

It is the privilege and responsibility of each Faculty member to participate actively in Faculty personnel considerations, as permitted under relevant UNC and ECU policies and procedures. Such participation may include service on search committees, attendance at candidate presentations, completion of evaluation forms, reviewing Personnel Action Dossiers and portfolios for requests for promotion of tenured faculty or advancement in title of Fixed-Term faculty, and other personnel actions that are needed.

B. Criteria for serving as a voting Faculty member of the Unit

1. To cast a vote on issues related to Unit Code content, a member must meet the criteria stipulated in the ECU Faculty Manual, Part IV.
2. To cast a vote on recommendations for appointments, reappointments, subsequent appointments, promotions, and the conferral of permanent tenure to Faculty, a member must meet the criteria stipulated in the ECU Faculty Manual, Part IX.
3. On all other unit matters voting shall be limited to Fixed-Term, Probationary
Term, and Permanently Tenured Faculty with a 0.5 FTE or greater appointment.

C. Criteria for Faculty Emeritus Status in the Unit
The Personnel Committee may recommend to the appropriate administrators that the title “emeritus” or “emerita” be conferred upon a retired (including Phased Retirement participant), permanently disabled, or deceased Faculty member who has made a significant contribution to ALS and the University through a long and distinguished record of scholarship, librarianship, and/or service over an entire career. (See ECU Faculty Manual, Part VIII)

Section III ADMINISTRATIVE ORGANIZATION OF THE UNIT

For the purposes of the Unit Code and the ECU Faculty Manual, Part IX, ALS will be organized as a single unit and will not be further subdivided.

A. Personnel in Academic Library Services include:

1. EHRA Faculty personnel: see Section II.A;
2. EHRA Non-Faculty personnel: instructional and research staff exempt from the Human Resources Act under NCGS Section 126-5(c1)(8);
3. SHRA personnel: personnel subject to the Human Resources Act;
4. Temporary EHRA Faculty, temporary EHRA Non-Faculty personnel, and temporary SHRA personnel;
5. Student employees, including undergraduate and graduate student employees.

B. Roles and Responsibilities

1. Academic Library Services Director
   The Director is a member of the Faculty and is the chief administrative officer of ALS. The Director shall be appointed, serve, and be evaluated in accordance with established University policies. (See ECU Faculty Manual, Part II) The Director seeks the advice of the EHRA Assembly and SHRA Assembly, keeps both groups well informed of developments affecting ALS, and promotes the interests of the Unit and its personnel.
   The Director shall:
   a. demonstrate positive leadership to support the mission of ALS;
   b. facilitate positive morale, performance, staff development, and productivity within ALS;
   c. create and ensure an environment that is supportive of diversity and respect for all faculty, staff, and students;
   d. ensure that department resources and duties are distributed fairly and equitably;
   e. represent ALS in external relations;
   f. assign functional titles (i.e., Collections Librarian) and duties of EHRA personnel and communicate this information to ALS personnel in a timely
fashion;
g. allocate, transfer, or eliminate positions after discussions with the relevant Head(s) of Operational Service(s), the Director's Executive Committee, and the Directors Council and communicate non-confidential information to ALS personnel in a timely fashion;
h. recommend to the next higher administrator initial compensation and salary increases for all ALS personnel within approved budgetary limits and as permitted by established compensation policies and regulations;
i. solicit input and feedback on the performance of EHRA and SHRA staff members as is deemed necessary;
j. in collaboration with the supervisor (as applicable), provide oversight of the annual evaluation of each Faculty member's performance in librarianship, service, and research and creative activity and forward all Faculty personnel recommendations along with their recommendations to the next higher administrative official;
k. evaluate annually any EHRA Non-Faculty and SHRA staff member who reports directly to them;
l. make Faculty assignments and recommend reassigned time in accordance with criteria prescribed in the *ECU Faculty Manual* and established University policies;
m. manage and maintain ALS facilities and equipment;
n. oversee essential records;
o. prepare ALS budgets in consultation with the Director's Executive Committee, Director's Council, the EHRA Assembly, and the SHRA Assembly; allocate and administer ALS budgets; share final budget documents with the EHRA Assembly and the SHRA Assembly;
p. establish procedures for obtaining broad input into the development of major planning documents, assessment documents, and other major reports of Unit operations, and present final reports to the EHRA Assembly and the SHRA Assembly for discussion, review, and voting for recommendation by Faculty as described in Section VIII of this Code;
q. establish administrative committees, task forces, and working groups as necessary, ensuring that all appropriate areas of ALS are adequately represented;
r. act on recommendations and procedures voted on by the EHRA Assembly, the SHRA Assembly or Faculty;
s. prepare and distribute an annual report of ALS accomplishments and appropriate data;
t. recommend a person to be in charge of day-to-day operations and represent the Director when they are temporarily away for short periods of time in accordance with the ECU Faculty Manual and University policies;
u. inform personnel in a timely manner of administrative decisions or actions affecting them;
v. ensure that Code procedures are followed.
2. Associate Directors
   Associate Directors are EHRA personnel. The procedure for selection of Associate Directors shall be the same as the procedure for the selection of the relevant type of EHRA personnel and in accordance with established University policies. Duties of Associate Directors shall be established by the Director based on the needs of ALS.

3. Assistant Directors
   Assistant Directors are EHRA personnel. The procedure for selection of Assistant Directors shall be the same as the procedure for the selection of the relevant type of EHRA personnel and in accordance with established University policies. Duties of Assistant Directors shall be established by the Director based on the needs of ALS.

4. Head(s) of Operational Services
   An Operational Service has the functional responsibility for producing the services of ALS and providing them to patrons. For example: Circulation & Interlibrary Loan; Cataloging; Scholarly Communication. A Head of an Operational Service is responsible for the management of that service.

   Each Operational Service shall hold regular meetings to share information, plan departmental activities, address issues, and consider procedures being developed.

   Heads shall:
   a. formulate operational procedures in consultation with the personnel within the Operational Service and others in ALS in order to support the mission of ALS;
   b. lead the Operational Service in developing planning initiatives;
   c. encourage participation in the decision-making process through regular meetings and other means of communication;
   d. demonstrate positive leadership that facilitates morale, communication, performance, staff development, and workflow;
   e. create and ensure an environment supportive of diversity and respect for all faculty, staff, and students;
   f. advise the Director through the Director’s Council;
   g. communicate anticipated budget, equipment, and staffing requirements to the Director, the appropriate Associate and/or Assistant Director, and others as directed;
   h. prepare and submit required reports and other documentation in a timely fashion;
   i. provide input to the Director for annual Faculty and other EHRA employee evaluations;
   j. evaluate each SHRA staff member who reports directly to them;
   k. designate a person to be in charge of day-to-day operations and represent the HOS when they are temporarily away for short periods of time in accordance with the ECU Faculty Manual and University policies;
I. recommend candidates to the Director for hire for SHRA positions in the Operational Service;
m. ordinarily serve on search committees of candidates for positions in their Operational Service.

Section IV. CURRICULUM OVERSIGHT AND PROGRAM COORDINATION

Academic Library Services does not administer curricular degree-granting programs. Personnel in ALS may teach outside the unit under the auspices of other unit code programs.

Section V. COMMITTEES OF THE UNIT

A. Standing Committees

1. EHRA Assembly

The ALS EHRA Assembly (EHRA Assembly) is a deliberative body that discusses issues of importance to ALS and its services and personnel. The EHRA Assembly shall consist of the following personnel who hold appointment of half-time or more: Faculty, EHRA Non-Faculty, and temporary EHRA personnel. EHRA Assembly meetings are open to all personnel in ALS. The agenda shall be distributed to personnel in ALS as early as possible, but at least one day prior to EHRA Assembly meetings.

Elections of officers and committee members of the EHRA Assembly shall be conducted by acclamation, secret ballot, or electronic voting as appropriate.

The EHRA Assembly shall have a voice in the governance of ALS. As appropriate, the Director shall communicate on procedures and related matters with the EHRA Assembly. The EHRA Assembly meetings shall provide a forum in which members may debate, take positions and recommend actions on matters relating to ALS, to librarianship, and to the University community. Specific responsibilities include reviewing and making recommendations on major planning documents and providing input on the annual budget and annual report. Members are responsible for reviewing materials distributed for discussion, attending meetings, participating in discussions, and voting on issues. All members of the EHRA Assembly have voting privileges except where prohibited by the *ECU Faculty Manual* or by other provisions of this Code.

a. EHRA Assembly Meetings

Meetings shall be held regularly during the academic year. The Director or the President of the EHRA Assembly may call a meeting. One-fourth of the members may present the President with a request for a called meeting.

Meetings are conducted according to procedures in the latest edition of *Robert’s Rules of Order, Newly Revised*. 
b. EHRA Assembly Officers
   The officers of the EHRA Assembly are a President, a Vice-President (President-Elect), and a Secretary. All members of the EHRA Assembly are eligible to serve as officers. Officers serve one year terms.

   The Vice-President (President-Elect) and Secretary are elected at the April EHRA Assembly meeting. Terms shall begin on July 1. The officers shall take an active role in leading the EHRA Assembly in matters of importance to the assembly.

   If a vacancy occurs in the position of President, that position shall be filled by the Vice-President (President-Elect). If a vacancy occurs in the position of Vice-President (President-Elect) or Secretary, that position shall be elected at the next meeting of EHRA Assembly.

c. EHRA Assembly Executive Committee
   i. Membership: The officers of the EHRA Assembly
   ii. Duties of the EHRA Executive Committee:
      (1) plan agenda for meetings;
      (2) conduct elections for ECU Faculty Senate representative(s) and all EHRA Assembly offices and standing committees;
      (3) ensure that code procedures are followed;
      (4) create, in consultation with members of the assembly, including the Director, ad hoc committees to address issues of concern to EHRA personnel;
      (5) perform other responsibilities as requested by the EHRA Assembly or the Director;
      (6) prepare an annual report to the President of the EHRA Assembly, using a format adopted by the EHRA Assembly.

d. Duties of Specific Officers of the EHRA Assembly
   i. The President shall
      (1) preside at meetings of the EHRA Assembly;
      (2) communicate recommendations and election results of the EHRA Assembly to the Director or others as appropriate;
      (3) advise the Director on appropriate representation by assembly members to serve on administrative committees, task forces, and working groups;
      (4) call special meetings upon receipt of a request from one-fourth of the members or as needed;
      (5) ensure annual reports are prepared by standing committees and submitted to the Director;
      (6) represent the EHRA Assembly at meetings of the Director’s Council.

   ii. The Vice-President (President-Elect) shall:
(1) preside at meetings of the EHRA Assembly when the President is absent;
(2) maintain a list of the members with indications of appropriate voting privileges;
(3) perform such duties as may be delegated by the President.

iii. The Secretary shall:
(1) distribute the EHRA Assembly meeting agenda as early as possible, but at least one day prior;
(2) keep meeting minutes and distribute copies of approved minutes to all ALS personnel;
(3) transfer copies of administrative files to the University Archives in accordance with record retention guidelines;
(4) perform other duties that may be delegated by the President.

2. SHRA Assembly
The ALS Support Staff Assembly (SHRA Assembly) is a deliberative body that discusses issues of importance to ALS and its services and personnel. It has input concerning issues within ALS and provides opportunities for fellowship, cooperative learning, and exchange of information among members and other groups. Its membership is composed of all SHRA personnel who work in ALS.

3. Code Unit Committees
When a need for revising the Code of Operations exists, a committee will be selected in accordance with the ECU Faculty Manual, Part IV and the type of proposed action - for instance, creating a new Unit Code, making changes to an existing Code Unit, or revising an existing Unit Code. All members of the EHRA Assembly are eligible to vote for and serve on this committee.

4. Director’s Executive Committee
The Director’s Executive Committee (DEC) is an administrative council, chaired by the Director and comprised of all Associate and Assistant Directors, President of the SHRA Assembly, President of the EHRA Assembly, and other key personnel as designated by the Director. It serves as the chief internal advisory and decision-making group. The DEC reports to the Director.

5. Director’s Council
The Director’s Council supports the Director in carrying out the mission of ALS.

a. Membership: ALS Director, Associate Director(s), Assistant Director(s), Head(s) of Operational Services, President of the SHRA Assembly, and President of the EHRA Assembly
b. Meetings: the Council, chaired by the Director, shall determine its meeting schedule. The Director or a majority of Council members may call other
meetings as needed. The Director shall prepare and distribute the Council agenda as early as possible, but at least one day prior to any meeting. Any member of the Council may submit items for the agenda.

c. Duties:
i. develop the ALS calendar;
ii. advise the Director on allocation of positions, budgets, physical and organizational changes, management issues, and planning initiatives;
iii. provide leadership in fulfilling the mission of ALS.

6. Operating Procedures Review Committee
This committee is responsible for the review of operating procedures including, but not limited to, circulation procedures, patron conduct, exhibit space, room reservations, and collection development.

a. Membership: The committee shall consist of five voting members. Three shall be elected by the membership at the April meeting of the EHRA Assembly for staggered two-year terms. Two are named by the SHRA Assembly. Terms shall begin on July 1.

b. Duties:
i. review existing operating procedures and, when it appears that revisions to a procedure may be warranted, suggest that the Operational Service and/or others directly concerned with the procedure review it;
ii. review new and revised operating procedures initiated by a committee, an Operational Service, or an individual;
iii. present all new and revised operating procedures to the EHRA Assembly for approval;
iv. oversee the Procedures Manual available on the ALS website;
v. perform other responsibilities as requested by the EHRA Assembly;
vi. prepare an annual report to the President of the EHRA Assembly, using a format adopted by the EHRA Assembly.

B. Personnel Action Committees

1. Personnel Committee

a. Membership:
The committee shall consist of five Faculty members, with a composition meeting the requirements of the ECU Faculty Manual, Part IX for non-tenure granting and transitioning units. Members are elected as specified in the ECU Faculty Manual, Part IX at the March EHRA Assembly meeting for staggered two-year terms. Terms shall begin on July 1.

b. Duties:
i. perform those duties specified by the ECU Faculty Manual, Part IX;
ii. appoint search committees that strive to represent the diversity of ECU; at
least one member of the Personnel Committee shall serve on each search committee;
iii. appoint the chairs of search committees for Faculty positions;
iv. set and communicate annual calendars for the Fixed-Term Faculty subsequent appointment and advancement in title processes;
v. prepare an annual report to the President of the EHRA Assembly, using a format adopted by the EHRA Assembly and containing material not deemed confidential by University policies.

c. Search Committees:
   i. All EHRA and SHRA personnel in ALS are eligible to serve when established University policies permit. Composition will be determined in compliance with the *ECU Faculty Manual, Part IX*. All members have voting privileges.
   ii. Duties:
      (1) prepare the announcement of an open position in consultation with the Personnel Committee, the Director, and appropriate Head of Operational Service;
      (2) solicit a diverse pool of applicants;
      (3) receive and review applications for positions;
      (4) select candidates for interview;
      (5) conduct interviews;
      (6) solicit input concerning the qualifications of the candidates, in accordance with University recruitment guidelines and best practices;
      (7) make recommendations to the Personnel Committee.

2. Tenure Committee
   The composition and function are prescribed by the *ECU Faculty Manual, Part IX*.

3. Promotion Committee
   The composition and function are prescribed by *ECU Faculty Manual, Part IX*.

4. Academic Library Services Fixed-Term Faculty Advancement Committee

   a. Membership:
      The committee shall consist of all Faculty who hold a title or equivalent rank at least equal to the title for which the candidate is being considered (e.g., Associate Professor/Library Associate Professor).

   b. Duties:
      i. work with the Personnel Committee on matters related to making recommendations for advancement in title and for recommending the titles of initial appointments at the Library Associate Professor or Library Professor level;
      ii. select one of the two external reviewers for Library Associate Professors
requesting advancement in title to Library Professor and participate in advancement in title actions for Fixed-Term Faculty as described in Section VI.B.5. of this code;

iii. prepare an annual report to the President of the EHRA Assembly, in years the committee is constituted, using a format adopted by the EHRA Assembly and containing material not deemed confidential by University policies.

C. Ad Hoc Committees
   Other ad hoc committees may be appointed or elected.

D. Vacancies on Committees
   When a vacancy on a committee occurs, an election shall be held to complete the original unexpired term. The election shall be conducted in accordance with procedures applicable to regular elections to the committee in question.

Section VI. EVALUATION OF FACULTY AND EHRA NON-FACULTY

A. Tenured and Probationary Term Faculty Members

1. The evaluation of Faculty is a continuous process. It is designed to assist Faculty members in their professional progress by recognizing and reinforcing appropriate activities and identifying areas in need of improvement. Annual evaluations, progress toward tenure letters, reappointment of Probationary Term Faculty, conferral of tenure, promotion, and five-year performance review of Tenured Faculty are based on the following criteria specified in the _ECU Faculty Manual, Part IX_: (1) effective performance of librarianship responsibilities; (2) research/creative activity; (3) professional service. These criteria are described in APPENDIX A: “Dimensions of Job Performance”.

2. Annual Evaluation of Tenured and Probationary Term Faculty Members
   Annual evaluation of Faculty members shall be made by the Director, or by the direct supervisor if designated by the Director, based on the three dimensions of performance and on the Faculty member’s progress in accomplishing their annual goals. Weights are negotiated at the time of appointment, reappointment, or at the beginning of each evaluation period.

   The Director, in consultation with the Faculty member and the supervisor (if applicable) shall determine the relative weights (percentage of commitment) to be assigned to each dimension for that evaluation period.

   The specific ranges of weights given to performance of librarianship responsibilities, research/creative activity, and service for each Probationary Term or Tenured Faculty member are 65-80% for performance of librarianship responsibilities, 10-25% for research/creative activity, and 10-15% for service. For this Faculty, the weight assigned to service shall not be greater than that
assigned to either librarianship responsibilities or research/creative activities. The norm for Probationary Term and Tenured Faculty is 80% for librarianship/professional responsibilities, 10% for research/creative activity, and 10% for service.

The goals for the upcoming year shall be agreed to by the Director, supervisor (if applicable), and the Faculty member. The goal-setting process is a collegial process that, for those Faculty members who do not report directly to the Director, also involves input from the relevant supervisor, Assistant Director, or Associate Director. The Faculty member’s goals should support the Unit and University goals. The goals document is placed in the Faculty member’s personnel file to be used in the Faculty member’s annual evaluation.

Each Faculty member reports on progress in accomplishing goals as part of the individual Faculty member’s annual report. All Faculty members submit their annual report to the Director, Assistant Director, and supervisor as applicable. The supervisor prepares a written evaluation covering all relevant dimensions for use by the Director in finalizing the Faculty member’s annual evaluation. The supervisor shares their written evaluation with the faculty member in accordance with the ECU Faculty Manual, Part VIII. The Faculty member’s annual report, the supervisor’s signed evaluation, and the Director’s signed, finalized evaluation are all important documentation of the Faculty member’s accomplishments, progress, areas of strength, and areas where improvement is needed, if any. Each party has an important role to play and is responsible for completing the required documents in a timely and accurate manner. Annual evaluations are used in evaluating the individual for reappointment, tenure and/or promotion through inclusion in the individual’s Personnel Action Dossier (PAD), as well as raises and merit awards in accordance with established University policies. Annual evaluations are also used in the performance review of Tenured Faculty.

a. Criteria for Annual Evaluations
   Please see APPENDIX B “Criteria for Annual Evaluations” for lists of possible items that might be used in evaluating effective performance of librarianship, research/creative activity, and service. The location of any item on the three lists is not intended to imply a ranking of importance, nor are the lists intended to be exhaustive or mutually exclusive. Furthermore, the items on each list are not necessarily of equal weight, although in some instances, an indication is given as to the importance of the activity. Items that are general in nature or apply to all Faculty members appear at the beginning of each list. It is always the responsibility of the person being evaluated to report accurately and clearly on activities.

b. Progress Toward Tenure Letters
   Progress toward tenure letters are used in evaluating the individual for reappointment, tenure, and/or promotion. In accordance with the ECU Faculty Manual, Part IX the Tenure Committee and the Director review the
appropriate evaluative instruments for each Probationary Term Faculty member. On the basis of this review, the Director, in consultation with the Tenure Committee, writes a progress toward tenure letter for each Probationary Term Faculty member. The Director and a representative of the Tenure Committee discuss the progress toward tenure letter with the Faculty member. The purpose of the progress toward tenure letter is defined in the ECU Faculty Manual, Part IX.

3. Criteria for Appointment and Promotion of Probationary Term and Tenured Faculty. (See ECU Faculty Manual, Part VIII)

a. Assistant Professor
   The successful candidate for Assistant Professor shall hold the appropriate terminal degree, show evidence of potential for continued professional growth in librarianship and research/creative activity, and have the ability and willingness to participate in Unit and University affairs.

b. Associate Professor
   The successful candidate for Associate Professor shall meet the qualifications of the previous rank, have a quality record in librarianship, a consistent and sustained record of research and/or creative activity resulting in publication or comparable productivity, demonstrated ability and willingness to participate in Unit and University affairs, membership in professional organizations, and a record of effective service to the profession.

c. Professor
   The successful candidate for Professor shall meet the qualifications of the previous rank; have an established record of excellence in librarianship; a significant record of creative or research activity resulting in publication or comparable productivity; demonstrated excellence, ability, and willingness to participate in Unit and University affairs; and a record of significant service to the profession. In accordance with the ECU Faculty Manual, Part X 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.

4. Reappointment of Probationary Term Faculty
   Reappointments of Probationary Term Faculty follow policies and procedures in the ECU Faculty Manual, Part IX. In addition, reappointment decisions are based on the individual’s demonstrated achievements in all three dimensions of performance as well as the individual’s potential for future contributions. By the time of the tenure decision, the individual must compile a consistent and sustained record of achievement showing positive contributions to the Unit, University, and profession. The individual should show a pattern of growth and accomplishment from year to year. At the time of each reappointment, candidates must demonstrate that they have established such a pattern in the areas of librarianship, research/creative activity, and service.
5. Criteria for Tenure and Promotion

Academic Library Services applies criteria for tenure and promotion as directed in the *ECU Faculty Manual, Part VIII and Part IX*. In general, ALS’ standards for permanent tenure include demonstrated professional competence in librarianship, research/creative activity, and service as well as potential for future contributions and institutional needs and resources.

The candidate must demonstrate consistent professional competence in each area. The guidelines below are intended to assist the candidate but should not be considered exhaustive or exclusive:

a. Effective performance of librarianship responsibilities is essential. Documentation should reflect the candidate’s contributions to the overall performance and enhancement of the Unit and effectiveness in meeting annual goals. The candidate’s documentation should include statistics, examples of work product, comments from patrons or colleagues, and other appropriate supporting materials.

b. The candidate’s research/creativity activity should show a consistent and sustained record of publications and other activity that contribute to the field of librarianship or other academic disciplines. These activities may encompass a variety of venues and publication types, but should focus primarily on refereed or reviewed work. In the case of collaborative works, the contribution of the candidate to the work should be made clear. The overall record must indicate that the candidate has made significant contributions of their own to the field. While contributions to the field of librarianship are most strongly encouraged, peer-reviewed publications in areas outside of librarianship will count towards tenure. The quality, extent, significance, usefulness, and creativity of the work will be considered by the Tenure Committee in making a recommendation for tenure.

c. Documentation of service activity should demonstrate the candidate’s level of contribution. Leadership roles, such as serving as an officer or chair, should be clearly indicated. The candidate’s record of service should show a range of activity among professional organizations, University committees, Unit committees, and other groups.

6. Qualifications for External Reviewers

Persons nominated to serve as external reviewers should be recognized as scholars or experts in the candidate’s field(s) of endeavor. They should be professional librarians, if appropriate, and preferably hold tenure or be employed by an institution that awards tenure. Procedures for selection of external reviewers shall follow those described in the *ECU Faculty Manual, Part IX*. 
B. Fixed-Term Faculty Members

1. Guidelines for Fixed-Term Faculty

The evaluation of Faculty is a continuous process. It is designed to assist Faculty members in their professional progress by recognizing and reinforcing appropriate activities and identifying areas in need of improvement. Following the requirements of the ECU Faculty Manual Part VIII and Part IX, the responsibilities stated in the individual’s appointment letter provide the basis for annual evaluation, subsequent appointment and advancement in title of Fixed-Term Faculty. This Code and APPENDIX A “Dimensions of Job Performance,” further specify criteria for the categories of (1) effective performance of librarianship responsibilities; (2) research/creative activity, if applicable; and (3) professional service in personnel actions for Fixed-Term Faculty.

2. Annual Evaluation of Fixed-Term Faculty Members

Annual evaluation of Faculty members shall be made by the Director, or by the direct supervisor if designated by the Director, based on the responsibilities defined in the individual faculty member’s letter of appointment, the three dimensions of performance discussed above, and on the Faculty member’s progress in accomplishing their annual goals. Weights are negotiated at the time of appointment, subsequent appointment, and at the beginning of each evaluation period.

The Director, in consultation with the Faculty member and the supervisor (if applicable), shall determine the relative weights (percentage of commitment) to be assigned to each dimension for that evaluation period.

The ranges of weights given to performance of librarianship responsibilities, research/creative activity, and service for Fixed-Term Faculty are 65-95% for performance of librarianship responsibilities, 0-25% for research/creative activity, and 5-15% for service. Library Associate Professor and Library Professor must have a minimum of 10% research/creative activity and 10% service. The norm for temporary faculty is 100% librarianship responsibilities.

The goals for the upcoming year shall be agreed to by the Director, supervisor (if applicable), and the Faculty member. The goal-setting process is a collegial process that, for those faculty members who do not report directly to the Director, also involves input from the relevant supervisor, Assistant Director, or Associate Director. The Faculty member’s goals should support the Unit and University goals. The goals document is placed in the Faculty member’s personnel file to be used in the Faculty member’s annual evaluation.

Each Faculty member reports on progress in accomplishing goals as part of the individual Faculty member’s annual report. All Faculty members submit their annual report to the Director, Assistant Director, and supervisor as applicable.
The supervisor prepares a written evaluation covering all relevant dimensions for use by the Director in finalizing the Faculty member’s annual evaluation. The supervisor shares their written evaluation with the faculty member in accordance with the **ECU Faculty Manual, Part VIII**. The Faculty member’s annual report, the supervisor’s signed evaluation, and the Director’s signed, finalized evaluation are all important documentation of the Faculty member’s accomplishments, progress, areas of strength, and areas where improvement is needed, if any. Each party has an important role to play and is responsible for completing the required documents in a timely and accurate manner. Annual evaluations are used in evaluating the individual for subsequent appointment, advancement in title, raises, and merit awards in accordance with established University policies.

Please see APPENDIX B “Criteria for Annual Evaluations” for lists of possible items that might be used in evaluating effective performance of librarianship, research/creative activity, and service. The location of any item on the three lists is not intended to imply a ranking of importance, nor are the lists intended to be exhaustive or mutually exclusive. Furthermore, the items on each list are not necessarily of equal weight, although in some instances, an indication is given as to the importance of the activity. Items that are general in nature or apply to all Faculty members appear at the beginning of each list. It is always the responsibility of the person being evaluated to report accurately and clearly on activities.

3. **Criteria for Initial Appointment and Advancement in Title of Fixed-Term Faculty**
   
   **Appointment to the title of Library Assistant Professor, Library Associate Professor, or Library Professor is dependent upon the individual’s qualifications.**
   
   Initial appointment as a Fixed-Term Library Faculty member may be at any title. The Faculty member shall hold the appropriate terminal degree. (See **ECU Faculty Manual, Part VIII**)

   a. **Library Assistant Professor**
      
      Appointment to the title of Library Assistant Professor requires evidence of or potential for successful performance of duties in assigned areas of responsibility; collegiality and professional integrity, continued professional growth, service to the Library, service to the University and/or to the profession, and contributions to scholarship/creative activity, if applicable.

   b. **Library Associate Professor**
      
      The successful candidate for Library Associate Professor shall meet the qualifications of the previous title and provide evidence of substantive accomplishments in professional performance, collegiality and professional integrity, substantial and continued professional growth, sustained institutional and professional service, and regular contributions to scholarship/creative activity.

   c. **Library Professor**
The successful candidate for Library Professor shall meet the qualifications of the previous title and provide evidence of sustained and substantive accomplishments in professional performance, collegiality and professional integrity, superior knowledge and demonstrated mastery of assigned area of specialization, national or international recognition as an authority and leader in the assigned area of specialization, exemplary institutional and professional service, and a sustained and substantive record of scholarship/creative activity.

4. Subsequent Appointment of Fixed-Term Faculty

Subsequent appointments of Fixed-Term Faculty follow policies and procedures outlined in the ECU Faculty Manual, Part IX and are made in accordance with established University procedures. Subsequent appointments and their length are based on the individual's demonstrated achievements, the individual's potential for future contributions, the needs of ALS, and budgetary considerations. Some University offices may set deadlines that supersede the timeframe specified in the ECU Faculty Manual. If a deadline changes from what is specified in this Code or the ECU Faculty Manual, notification will be made. A calendar with fixed due dates will be sent annually by the Personnel Committee no later than 60 days prior to the first deadline.

a. Following are procedures for considering subsequent appointments:

- Library Faculty member submits a written request to the Director and the Personnel Committee within the timeframe specified by the ECU Faculty Manual, Part IX.

- Library Faculty member submits a portfolio to Personnel Committee including the following items:
  - Copy of request for subsequent appointment
  - Copies of annual reports covering the appointment period
  - Copies of evaluations during the appointment period
  - Current CV
  - Optional: a letter recommending subsequent appointment from supervisor. This letter is required when the date of hire is later than the evaluation period from the previous year.

- Personnel Committee reviews portfolio and issues a recommendation to Director.

- Director completes recommendation.

- Fixed-Term Faculty member is notified of this recommendation by the Personnel Committee in writing and then the Director's written recommendation is forwarded along with the Personnel Committee's recommendation to the next higher administrator. The Director and Personnel Committee will notify Fixed-Term Faculty of their respective recommendations according to the notification timeline outlined in the ECU Faculty Manual, Part IX.

- In the case of a dispute, University grievance procedures may be available
pursuant to the *ECU Faculty Manual*, except when the institution decides not to offer a subsequent appointment at the end of the current specified fixed term.

5. **Advancement in Title for Fixed-Term Faculty**

The recommended minimum professional experience for advancement in title to Library Associate Professor is 5 years; recommended minimum professional experience for advancement in title to Library Professor is 10 years. If approved, advancement will be effective July 1. A Fixed-Term Faculty member may elect to remain at their current title instead of seeking advancement. Specific criteria for advancement in title are listed under Section VI. B. 3 of this code. Some University offices may set deadlines that supersede the timeframe specified in the *ECU Faculty Manual*. If a deadline changes from what is specified in this Code or the *ECU Faculty Manual*, notification will be made. A calendar with fixed due dates will be sent annually by the Personnel Committee no later than 60 days prior to the first deadline.

Following are the procedures for requesting an advancement in title:

- Library Faculty member submits letter to the Director and Personnel Committee requesting advancement in title and outlining qualifications for the advancement along with a portfolio containing the following items:
  - Copy of letter requesting advancement in title
  - Copies of all annual reports and evaluations
  - Current CV
  - Copies of scholarly products, evidence of service, and evidence of substantive professional performance
  - If requesting advancement in title to Library Professor, a list of three potential external reviewers.

  The Library Faculty member should also inform their supervisor of the advancement in title request.

- The Personnel Committee notifies the Fixed-term Advancement Committee of the request for advancement in title

- For requests for advancement in title to Library Professor, the Fixed-Term Advancement Committee meets to select two external reviewers and communicates them to Director. At least one of these reviewers will be selected from the list of three names provided by the candidate. External reviewers must possess the credentials and experience to provide an objective and knowledgeable assessment of the candidate’s work. Each external reviewer will be sent a copy of the candidate’s portfolio and the Unit’s criteria for advancement in title. The external reviews will be added to the portfolio by the Fixed-Term Faculty Advancement Committee prior to its review and recommendation to the Personnel Committee.

- For advancement in title to Library Professor, the Director sends materials to external reviewers with a deadline to return.

- The Personnel Committee notifies the Fixed-Term Faculty Advancement
Committee of the availability of a portfolio. The Fixed-Term Faculty Advancement Committee reviews the portfolio, conducts a vote by secret ballot, issues a recommendation with an evaluative statement to the Personnel Committee and provides a copy to the Fixed-Term Faculty member. This recommendation will be added to the candidate’s portfolio by the ALS Human Resources Administrator.

- The Personnel Committee reviews the portfolio, issues a recommendation with an evaluative statement to the Director and provides a copy to the Fixed-Term Faculty member. This recommendation will be added to the candidate’s portfolio by the ALS Human Resources Administrator.
- The Director provides written notification to the Fixed-Term Faculty member, the Personnel Committee, and the Fixed-Term Faculty Advancement Committee of his/her concurrence or non-concurrence with the Personnel Committee’s recommendation. Recommendations are then forwarded to the Provost and Senior Vice Chancellor for Academic Affairs for a final decision.
- In the case of a dispute regarding advancement in title, University grievance procedures may be available pursuant to the ECU Faculty Manual.

C. Performance Review of Permanently Tenured Faculty

Performance review of permanently Tenured Faculty will follow policies and procedures outlined in the ECU Faculty Manual, Part IX. Academic Library Services uses the block method of performance review of Tenured Faculty. (See approved standards for performance review at this link: https://www.ecu.edu/cs-acad/fsonline/customcf/unitcodes/PTR_ALS.pdf)

D. EHRA Non-Faculty

1. The recruitment, selection, and evaluation of EHRA Non-Faculty personnel shall be conducted in accordance with UNC regulations and established University policies. While not required, search committees should generally be appointed by the Director for the selection of EHRA Non-Faculty personnel.

   Appointments may be "employment at will" or for a stated definite term subject to continuation or discontinuation at the discretion of the Chancellor. Salaries for such appointments shall reflect the duties assigned to the position, the qualifications of the selected individual, labor market conditions, consideration of internal equity, and available funding.

2. Discontinuation of EHRA Non-Faculty and Grievances

   Discontinuation of EHRA Non-Faculty personnel may occur in accordance with UNC regulations and established University policies. EHRA Non-Faculty may secure review of decisions concerning discontinuation, termination, discharge for cause or other disciplinary action, or non-reappointment through the process and procedures established by the University.
Section VII. PROCEDURES FOR MEETINGS WITHIN THE UNIT

The Director appoints and determines the duties of library-wide administrative committees, task forces, and working groups. These groups may be continuing or ad hoc and should strive for broad representation from all personnel classifications as permitted. The Director, or designee, shall provide to all personnel a list of current library-wide administrative committees, task forces, and working groups each May, including the charges and length of terms of members. These groups shall report to the assemblies at least annually. These assemblies shall review these reports and provide input or recommendations as appropriate.

Academic Library Services personnel are expected to attend meetings of their Operational Service and other groups of which they are a part. Participation is an important responsibility of all staff. Minutes shall be kept by the EHRA Assembly, SHRA Assembly, Director’s Council, Director’s Executive Committee and other groups as requested by the appointing authority. The minutes, except for those dealing with personnel matters, shall be distributed to all staff as soon as possible, but at least one day prior to any meeting.

Meetings are conducted according to procedures in the latest edition of Robert’s Rules of Order, Newly Revised.

Section VIII. VOTING BY FACULTY MEMBERS

A. Procedures for Approval of Major Planning and Assessment Documents
   The Director shall make available to ALS Faculty copies of the Unit’s major planning documents, assessment documents, and other major reports, allowing five working days for review. When possible, a recommendation will be made about these documents. Voting members shall vote to indicate their recommended approval or disapproval of the documents. All members of the EHRA Assembly with a 0.5 FTE or greater appointment have voting privileges except where prohibited by the ECU Faculty Manual or by other provisions of this Code. A majority vote is required for recommending approval.

B. Unit Academic Program Review
   The Unit academic program review shall be conducted according to established University policies and procedures.

Section IX. BUDGET AND ANNUAL REPORT

A. Annual Budget Request and Subsequent Budget Allocation to the Unit
   The Director shall prepare the budget in consultation with the administrative staff and discuss them annually with ALS personnel.

B. Annual Report
The Director shall prepare an annual report in consultation with the administrative staff and discuss them annually with ALS personnel.

C. Procedure for Developing Criteria for Salary Increases

When discretionary salary increases are authorized, the Director and the EHRA Assembly shall meet to discuss priorities and procedures for developing criteria for salary increases, including but not limited to annual performance evaluations, equity, compression/inversion, and merit, as allowed by established University policies. The Director reports a summary of non-confidential salary recommendations with numbers and ranges to the EHRA Assembly.

Section X. AMENDMENT PROCEDURES

When there is a determination of a need to revise the Code, or when the number of Tenured Faculty falls below six, a Committee shall be selected in accordance with the ECU Faculty Manual, Part IV and the type of proposed action - for instance, creating a new Unit Code, making changes to an existing Code Unit, or revising an existing Unit Code. All members of the EHRA Assembly are eligible to vote for and serve on this committee. This Code may be amended by an affirmative vote of two-thirds of ALS eligible voting faculty (defined below), provided that the amendment has been submitted in writing no more than 15 working days prior to the date of the vote, and provided that it is subsequently approved by the Unit Code Screening Committee, the Faculty Senate, and the Chancellor of East Carolina University. In accordance with the ECU Faculty Manual, Part IV, voting faculty includes all permanently tenured faculty members with at least 12 consecutive months in a greater than 50% assignment in a unit and all full-time faculty with at least six years in a greater than 50% assignment in a unit. This includes administrators who meet these conditions. Only tenured faculty may approve tenure, promotion, and post-tenure review criteria.

This Code shall become effective immediately after its approval by a majority of the Permanently Tenured Faculty of ALS, the Unit Code Screening Committee, the Faculty Senate, and the Chancellor of East Carolina University.
APPENDIX A

Dimensions of Job Performance

a. Librarianship
   Teaching as defined in the *ECU Faculty Manual* is understood as equivalent to the Practice of Librarianship which includes the performance of responsibilities for ALS. East Carolina University expects Faculty to demonstrate competence and evidence of developing excellence in their primary area(s) of responsibility. Faculty support the educational mission of the University in many ways, and their primary responsibilities vary depending on their particular positions within ALS. The educational role of academic librarianship may be evidenced by (but not limited to): reference/user services; instruction; materials selection, evaluation, acquisition, and preservation; cataloging, classification, and description of library materials to make them accessible to the University community; organization and retrieval of information; scholarly communication; and successful management of services. All Faculty members must maintain a current awareness of research and technological advances relevant to their library positions as well as a broad understanding of academic librarianship and higher education.

b. Research/Creative Activity
   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 academic freedom; such activities must be measured by standards of quality, not merely by quantity. In alignment with the Association of College and Research Libraries (ACRL) Policy Statement on Open Access to Scholarship by Academic Librarians, ALS encourages publishing in open access venues, depositing in open repositories, and advocating for open scholarship whenever possible.

c. Service
   East Carolina University considers service to the University, the academic profession, and the community as an important aspect of academic performance. The highest level of professional service is that which enhances the academic credibility of the University.
APPENDIX B

Criteria for Annual Evaluations

ECU is committed to recruiting, retaining, and developing faculty that are highly accomplished in teaching and scholarship, including research and creative activities. Accordingly, research and creative activities that align with the institution’s mission, engage students in effective ways, and advance our academic disciplines are an expectation of all tenured and probationary (tenure-track) faculty. Measures of success in these arenas include, but are not limited to, peer-reviewed publications, books, presentations, performances, patents, and national awards, including both honorary awards and competitively awarded external funding as appropriate to the discipline. These measures, and particularly national awards that recognize prominence in the discipline, will be positively reflected in annual evaluations and other personnel actions.

i. Librarianship
The following apply to all Faculty members:
• Effectiveness in meeting annual goals
• Quality of work
• Productivity
• Contribution to the overall performance and enhancement of the Unit
• Understanding and application of contemporary practices and issues in field of practice
• Professional development and continuing education
The following may also be used to evaluate effective performance of librarianship:
• Development and implementation of techniques or methods that result in significant improvements in services or operations in ALS
• Grant proposals submitted or funded that relate to professional responsibilities
• Administration of grants that relate to professional responsibilities
• Special projects and assignments
• Collection development and management
• Providing effective access to library resources and materials
• Service to patrons
• Instruction
• Planning and assessment activities
• Creation and development of instructional, marketing, informational, and evaluation materials and tools
• Supervision of EHRA and/or SHRA personnel, students, interns, and volunteers
• Effective leadership and management of areas of responsibility
• Facilitation of a positive team environment
• Providing expertise in a professional capacity
• Exhibits or presentations related to professional responsibilities

ii. Research/Creative Activity

The expectations are that these activities will be substantive, possess high quality, and contribute to scholarship. No distinction is made between print and electronic formats. With co- or multiple-authored works, the contribution of the Faculty member to the work must be made clear. In general, works that undergo considerable scrutiny before publication (for example, by referees, editorial boards, anthology editors, etc.) will be deemed of the highest value. Such activity might include, but is not limited to, the following:
• Journal articles that have undergone peer review
• Scholarly books
• Articles or invited contributions in professional publications
• Book chapters
• Proceedings
• Research presentations
• Presentations or poster sessions at meetings of professional associations (e.g. presenter, panelist, facilitator, moderator)
• Technical and evaluative reports or case studies published as a result of applied research
• Development of research grant proposals
• Administration of research grants
• Books edited
• Journals or special issues of journals edited
• Encyclopedia entries
• Book reviews
• Published annotated bibliographies
• Exhibits and catalogs
• Abstracting and indexing
• Creative activity in service of the profession
• Other new and creative contributions that further the mission of the University

Materials that have been accepted for publication but are not yet published are considered under the appropriate categories above. Works in progress are considered during the annual evaluation and reappointment processes, but not in tenure/promotion nor advancement in title decisions. Factors affecting the weight given to works in progress include the type of work, anticipated completion date, and potential for publication.

iii. Service

A strong service profile at the Unit, University, state, regional, and
national levels is highly valued. The following apply to all Tenured and Probationary Term Faculty members:

- Participation in professional organizations is expected. Committee membership is valued. A leadership role carries significant weight.
- Unit committee service is expected.
- Service on Faculty and/or University level bodies such as committees, task forces and working groups is expected.

Additional activities may include:

- Faculty Senate representative or alternate
- Thesis or dissertation committee membership
- Advisor for student organizations and activities
- Development of grant proposals related to service
- Administration of service grants and contracts
- Serving on editorial boards as a manuscript reviewer
-Producing newsletters, columns, or other publications directly related to professional responsibilities/expertise
-Webmaster for professional organizations
-External reviewer for tenure and promotion candidates
-External reviewer for granting agencies
-Community service, activities, or presentations directly related to professional responsibilities/expertise, including articles and reviews in popular publications, service on committees, commissions, and boards
-Consulting related to professional or University responsibilities
-Adjudicating (e.g., serving as a judge for academic or musical competitions)