In accordance with the University of North Carolina Board of Governors policy number 600.3.4, amended July 12, 2002 (Attachment A), East Carolina University (ECU), a Special Constituent Institution of the University of North Carolina, respectfully submits the following plan for management to appoint and fix compensation. The Board of Governors delegates to the Board of Trustees the authority to appoint and fix compensation for tier I senior academic and administrative officer (SAAO) positions (Attachment C-J). Authority to appoint and fix compensation for SAAO, tier II, EPA Research and Instructional, and faculty has previously been delegated to the chancellor and/or his designee.

Institutional Plan for Management Flexibility for Personnel Appointments

Policy 600.3.4 requires that ECU establish or have in place the following nine items denoted in italics:

1a. Policies and procedures for the recruitment and selection of Senior Academic and Administrative Officers.

Please see Attachment C-2, which is the ECU policy for the recruitment and selection of faculty members and EPA administrators that includes SAAO’s. This policy includes the following provisions:

- When a vacancy opens
- Content of the advertisement
- Receiving applications
- The screening process
- Search committees
- Requirements for advertisements
- Selection

For Tier I SAAO positions, once selected, the chancellor will recommend appointment and compensation to the Board of Trustees for approval (see Attachment B).

1b. A campus policy for promotion and tenure that complies with the Code of the University of North Carolina, current federal law, provides for the periodic pre-tenure review, tenure and promotion review at multiple levels, and clear requirements for promotion and conferral of permanent tenure.

The policies for promotion and tenure are outlined in Appendices C and D (Attachment D) of the ECU Faculty Manual. These policies require that unit administrators complete pre-employment discussions of the faculty evaluation
These policies also require that unit administrators complete annual progress-toward-tenure evaluations of probationary term faculty members in consultation with unit personnel committees. Promotion and/or tenure recommendations are initiated by the unit committees and forwarded to the unit administrator, who then forwards the recommendations to the next higher administrator with the unit administrator's concurrence or non-concurrence. These recommendations continue using this process until reaching the chancellor. The promotion and tenure policies are developed by the Faculty Governance Committee for approval by the Faculty Senate, the Chancellor, the Board of Trustees, and UNC-General Administration.

The requirements for promotion and tenure are also outlined in Appendices C and D of the Faculty Manual. These requirements are developed by the Faculty Governance Committee for approval by the Faculty Senate, the Chancellor, the Board of Trustees, and the Office of the President. Evaluation criteria for promotion and tenure are specified in the unit codes of schools and departments. These criteria must be consistent with the requirements outlined in Appendix C and/or D of the Faculty Manual.

The policy for the Cumulative Review of Permanently Tenured Faculty (post-tenure review) is outlined in Appendix B (Attachment E) of the ECU Faculty Manual.

Please note that the complete ECU Faculty Manual located at the web address http://www.ecu.edu/cs-acad/fsonline/manual/facultymanual.cfm and/or the referenced appendices address the following:

- Compliance with federal retirement law
- Definition of role and responsibilities of reviewing agencies at all levels: departmental, college, and university
- Uniform file for submission of portfolio for review process: personal statement, CV, external/internal letters, teaching portfolio, recorded votes, copies of publications or record of creative works
- Standardization of CV
- Schedule for the process distributed well in advance to provide timely notice to faculty
- Role of external letters in review process
- Definition of the balance of teaching, research/creative activities, and professional service
- Process of informing the faculty member of results
- Process of governing review of faculty with joint appointments
- Relationship between letter of offer and subsequent expectations for tenure and promotion
- Workshops and mentoring process for faculty to gain information
- Hiring faculty and/or administrators with tenure in academic department
2. **A schedule and process of periodic review of promotion and tenure policies and a process for amending promotion and tenure policies that includes review by UNC General Administration.**

The promotion and tenure procedures are decentralized with promotion and tenure committees operating at the unit level. The unit codes containing the unit promotion and tenure policies and procedures are on a schedule to be reviewed every five years. The unit policies and procedures must be in compliance with the promotion and tenure policies and procedures of East Carolina University that are in Appendix D of the Faculty Manual. Changes made to the unit codes are recommended to the Unit Code Screening Committee. Those changes approved by the Unit Code Screening Committee are recommended to the Faculty Senate and the Chancellor for approval.

The current version of Appendix D of the Faculty Manual was adopted in September 1995. Changes and additions to Appendix D are made on an as needed basis. For example, the Faculty Governance Committee recommended changes that took effect at the beginning of the 2001-2002 academic year. Additional recommendations for changing promotion and tenure procedures have been approved and became effective for the 2002-2003 academic year. All changes made to Appendix D are recommended by the Faculty Governance Committee for approval by the Faculty Senate, the Chancellor, the Board of Trustees, and the Office of the President. In addition to formal changes, when a question about the meaning of a phrase, policy, or procedure arises, there is a formal process for making interpretations and clarifications of Appendix D. The process starts with the Chair of the Faculty and the Provost who will make a tentative joint interpretation. This joint interpretation goes to the Faculty Governance Committee, the Faculty Senate, and the Chancellor for approval. Interpretations are included as footnotes in the Faculty Manual. See Attachment D for examples.

Permanently tenured faculty undergo cumulative review (post-tenure review) every five years. ECU's Policy for Cumulative Review of Permanently Tenured Faculty will be reviewed every five years to determine the effectiveness of this policy and make changes as necessary.

3. **Salary ranges, based on relevant data, for senior academic and administrative officer positions that are not included in the annual Board of Governors’ study.**

In accordance with UNC policy, the Board of Governors establishes Vice Chancellor salary ranges annually. Salary ranges for senior academic and administrative officer positions not included in the annual Board of
Governors’ study (Attachment F including CUPA-HR Survey ranges) will be based on East Carolina University’s peer institutions as approved by the Board of Governors (Attachment H) or, as necessary and appropriate, the Annual Administrative Compensation Survey compiled by the College and University Professional Association for Human Resources (CUPA-HR) and other annual data reports derived from professional associations such as the Association of Academic Health Centers. The ranges will be established by July 1, or as soon after as is practicable, for use beginning in the 2002-2003 fiscal year. Our goal, based on the availability of funding, is to establish a structure whereby the minimum of the ranges will be established at 60% of the 80th percentile, and the maximum of the ranges will be established at 112% of the 80th percentile.

New salary ranges are annually developed for the following positions:

Dean:  Thomas Harriot College of Arts and Sciences
       College of Allied Health Sciences
       College of Business
       College of Education
       College of Fine Arts and Communication
       College of Health and Human Performance
       College of Human Ecology
       Brody School of Medicine
       School of Dentistry
       College of Nursing
       College of Technology & Computer Science
       Graduate School
       Academic Library and Learning Resources

   Director, Laupus Health Sciences Library
   Executive Assistant to the Chancellor
   University Attorney

4. Evidence of comprehensive salary studies that establish salary ranges for the tenured faculty within different disciplines based on relevant data.

ECU annually conducts and participates in several salary studies. Each spring an analysis of existing salary ranges within the various academic units is conducted. The data are analyzed by academic rank, gender, race, and length of service. The focus of the report is to inform unit heads of the existing ranges. The report provides data on each person’s salary, the mean for the rank, unit as a whole, dollar deviations from the mean, and statistical standard deviations. Unit heads are to use this information in making salary reviews and recommendations. The report does not include any performance evaluation component; therefore it should be used as one factor in making
future salary recommendations, but not necessarily the overriding one. The university also participates in a variety of peer institution and unit-based peer salary studies. These external studies help units understand their competitiveness in setting beginning salary rates for the recruitment of new faculty and to indicate disciplinary shortfalls that need addressing from institutional funds beyond those available to individual units.

Historically, such salary studies have not been used to establish maximum salary rates. Beginning with Spring 2002, however, salary ranges from these various sources will be set for each discipline as a means of gauging institutional competitiveness.

ECU uses data from such sources as the following to establish salary ranges for tenured faculty:

- IPRE Annual Faculty Study
- American Assembly of Collegiate Schools of Business
- Association of Academic Health Centers
- Association of American Medical Colleges
- American Association of University Professors
- CUPA-HR National Faculty Salary Survey

Based on relevant data derived from all approved sources, the chancellor is granted delegated authority to:

a. Establish salary ranges within different disciplines based on relevant data, and fix the compensation for faculty with permanent tenure.
b. Appoint and fix compensation for faculty awarded the designation of Distinguished Professors.

5. Policies governing the compensation of faculty and non-faculty EPA (exempt from the State Personnel Act) from non-state sources such as grants, endowment funds, practice plan funds, etc.

Please see Attachment I, ECU’s Salary Policies and Procedures for faculty and EPA professional staff. Also note, Attachment J details the ECU Clinical Faculty Compensation Plan. In accordance with the authority delegated to him by the Board of Trustees, the chancellor may award compensation from non-state sources consistent with policies established by the Board of Governors.
6. **Policies governing any non-salary compensation of faculty and non-faculty EPA.**

ECU has formalized a policy (Attachment K), adopted by separate motion of the ECU Board of Trustees, regarding the non-salary compensation of faculty and non-faculty EPA employees.

7. **Documentation that the campus has not had audit findings related to personnel practices, salary or payroll for the previous three years or evidence that any findings have been remedied.**

Please see Attachment L, from the ECU Internal Auditor that certifies that the Office of State Auditor has not cited ECU for any audit findings related to personnel practices, salary or payroll for the last three years.

8. **Evidence of appropriate accountability for the authority granted pursuant to this policy by the Board of Trustees to the chancellor.**

To ensure proper oversight and accountability, the chancellor will provide annually, to the ECU Board of Trustees, an appropriate summary report of personnel actions taken under this delegation of authority for the current academic year. In addition, other periodic reports may be presented when requested by the ECU Board of Trustees.