

**East Carolina University Faculty Manual**  
**PART VI. GENERAL PERSONNEL POLICIES**

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## I. Employment Policies

It is a policy of the university throughout the campus and all its branches, divisions, departments, facilities, and activities that firm and positive steps be taken by all supervisory and management personnel to prevent any discriminatory employment practices; and that affirmative action will be taken to ensure that applicants for employment will be considered and employed based on actual job requirements; and that all personnel matters pertaining to employment, placement, training, upgrading, promotion, demotion, transfer, layoff, termination, and salary administration will be conducted in a nondiscriminatory way without regard to race, color, national origin, religion, veteran's status, gender, age, sexual orientation, political affiliation, or disability. (Faculty Senate Resolution #03-37, September 2003)

The general faculty shall consist of all full-time members of the teaching, research, or administrative staff who hold a professorial rank, including those on special faculty appointment. Adjunct members of the faculty do not receive benefits normally associated with full-time employment, nor does such service count toward the attainment of a tenured position. Teaching fellows are not formal members of the university faculty.

### A. Appointment

**Deleted from Faculty Manual and relocated into revised Appendix C.**  
(FS Resolution #10-32, March 2010)

### B. Collection of Money

**Deleted from Faculty Manual.**  
(FS Resolution #11-47, March 2011)

### C. Employee Involvement In Political Candidacy and Officeholding

**Deleted from Faculty Manual and placed elsewhere in University Policy Manual with a link to the Board of Governors policy (see item 300.5**  
<http://www.northcarolina.edu/policy/index.php>) . (FS Resolution #11-08, February 2011)

### D. Faculty Absence and Leave

Faculty members unable to perform their duties are expected to make arrangements in advance with their unit administrators. The unit administrator then determines the acceptability of the absence from duty, and if necessary, will coordinate substitute arrangements with the appropriate administrator (dean or vice chancellor). If the absence from duty is associated with travel, faculty must be in compliance with the East Carolina University travel policy ([http://www.ecu.edu/cs-admin/financial\\_serv/accountspayable/travelmanual.cfm](http://www.ecu.edu/cs-admin/financial_serv/accountspayable/travelmanual.cfm)) which mandates that all university travel is subject to availability of budgeted funds and must be approved before travel may begin. In the event of an absence from duty caused by an emergency or illness, a faculty member is advised to inform the unit administrator at his or her earliest convenience; normally the notification should be within one business day. Faculty members incurring an illness or emergency for more than three consecutive business days are to be notified by the unit administrator of their potential entitlements under the Family and Medical Leave Act (FMLA). Refer to <http://www.ecu.edu/cs-admin/HumanResources/Benefits.cfm> for additional information on leave and benefits coverage under FMLA.

Faculty members may take a leave of absence for one or more semesters (normally not more than two academic years or more often than once in three years) or appropriate period of time for the faculty in the Brody School of Medicine. The leave can be with salary or without salary, depending on the type of leave and the advance approval for the leave of absence.

Faculty members requesting a professional leave of absence should include the reason(s) for the request and the dates the faculty member is requesting leave. The unit administrator will forward the request to the Personnel Committee, which will make a recommendation to the unit administrator. The unit administrator will make a recommendation and will forward both recommendations to the immediate supervisor. This procedure shall be repeated at each administrative level until the recommendation reaches the appropriate vice chancellor. After reviewing the recommendations, the vice chancellor will make a decision and will notify in writing the faculty member, the unit administrator, and the administrator's immediate supervisor.

Leaves of absence include, but are not limited to, the following:

1. Professional leave. Leave is granted to give permanently tenured faculty members opportunities for research, advanced study and/or professional growth. For both permanently tenured and probationary-term faculty members, this type of leave allows faculty members to accept competitive awards in programs such as the Fulbright or Fogarty Fellowships, allowing research or advanced study opportunities.

2. Faculty Scholarly Reassignment. Leave is granted for a faculty member to pursue full-time a project involving research or creative (scholarly) activity. Details of the ECU Faculty Scholarly Reassignment policy, including eligibility and terms and conditions, are located at (link to be provided).

3. Personal leave. In accordance with ECU's Faculty Serious Illness and Parental Leave Policy, a faculty member may request personal leave for purposes such as serious illnesses, maternity leave, or parental leave as defined by the Family and Medical Leave Act (FMLA). See <http://www.ecu.edu/cs-admin/HumanResources/Benefits.cfm> for more information.

4. Public service leave. A faculty member may run for political office, serve in appointed or elected public office, or serve in an appointed professional office and request a leave of absence. See "Political Activities of Employees" of the UNC policy manual policy ([http://www.northcarolina.edu/policy/index.php?pg=vb&node\\_id=331](http://www.northcarolina.edu/policy/index.php?pg=vb&node_id=331)) for more information on this type of leave.

5. Community Service Leave. Leave is granted under certain criteria for volunteers to support schools, communities, citizens, and non-profit charitable corporations. See the University Policy Manual ([http://www.ecu.edu/business\\_manual/Human\\_Resources\\_Policy13.htm](http://www.ecu.edu/business_manual/Human_Resources_Policy13.htm)) and the UNC "community service leave" policy ([http://www.northcarolina.edu/policy/index.php?pg=dl&id=288&inline=1&return\\_url=%2Fpolicy%2Findex.php%3Fpg%3Dvb%26tag%3DChapte\\_r%2B300](http://www.northcarolina.edu/policy/index.php?pg=dl&id=288&inline=1&return_url=%2Fpolicy%2Findex.php%3Fpg%3Dvb%26tag%3DChapte_r%2B300)) for more information on this type of leave.

6. Military Service Leave. Leave is granted to fulfill a military obligation, such as a call to active duty for a reservist. See policy link ([http://www.ecu.edu/business\\_manual/Human\\_Resources\\_Policy13.htm](http://www.ecu.edu/business_manual/Human_Resources_Policy13.htm)) for more information.

Faculty members may retain voting privileges while they are on leave of absence but in attendance at specified committee meetings, such as personnel, promotion, and tenure committees. Please refer to Section IV. of the [ECU Tenure and Promotion Policies and Procedures](#) located in the *ECU Faculty Manual*. Leaves of absence for probationary-term faculty members may, under cases of severe personal exigency or other compelling personal circumstances, include extension of the length of the probationary term. The conditions for, and approval process of, extensions of the probationary term can be found in Section II.C.4 of the [ECU Tenure and Promotion Policies and Procedures](#), located in the *ECU Faculty Manual*. Continuation of benefits for faculty members on leave is covered by university and state regulations.

Prior to taking leave, faculty members are encouraged to speak with a university benefits counselor to determine benefit continuation options. Additional information is available at the following website: <http://www.ecu.edu/cs-admin/HumanResources/Benefits.cfm>.”  
(FS Resolution #11-46, March 2011)

E. New Faculty Orientation

New faculty are expected to attend the East Carolina University New Faculty Orientation Program. The program offers a variety of resources, including information on benefits, parking, technology, research, and tenure: <http://www.ecu.edu/cs-acad/facultyorientation>. Additional faculty orientation activities may be required by academic units. As part of the orientation process, new faculty members are informed about the University system of shared governance and invited to serve in shared governance of the university. Orientation of new faculty will be continued throughout the year by key administrators and faculty leaders to assist the faculty in becoming acquainted with the practices and procedures of the university. Ongoing programs, including information on mentoring, are available through the Office for Faculty Excellence: <http://www.ecu.edu/ofe/>. New faculty hire letters note a begin date one week prior to the annual convocation with the expectation that all new faculty will attend the New Faculty Orientation Program.

New faculty are encouraged to attend the annual Faculty Convocation, which is scheduled at the opening of each academic year, for the purpose of becoming acquainted with the chancellor, chair of the faculty, key administrative personnel and their responsibilities, and with the relationship between faculty and administration.  
(FS Resolution #11-80, October 2011)

F. Promotion

**Deleted from Faculty Manual and relocated into revised Appendix C.**  
(FS Resolution #10-32, March 2010)

G. Resignation and Re-appointment

**Deleted from Faculty Manual and relocated into revised Appendix D.**  
(FS Resolution #10-32, March 2010)

H. Phased Retirement

Participation in East Carolina University's Phased Retirement Program is available to tenured faculty who meet University of North Carolina Program eligibility criteria as detailed in the policy available online at:

<http://www.northcarolina.edu/policy/index.php?tag=300.7.2>

Application Forms can be found at the following website:

<http://www.ecu.edu/cs-acad/aa/AAPersonnelForms.cfm>

(FS Resolution #11-60, April 2011)

## I. Retirement

All full-time faculty of the university with a permanent appointment must participate in the university's retirement program. Information regarding the retirement plans can be found at the online links below:

Overview of retirement plan options:

[http://www.ecu.edu/cs-admin/humanresources/customcf/Benefits/Benefits\\_Retirement\\_Plans.pdf](http://www.ecu.edu/cs-admin/humanresources/customcf/Benefits/Benefits_Retirement_Plans.pdf)

Statutory provisions for the State Retirement system:

[http://www.ncga.state.nc.us/enactedlegislation/statutes/pdf/bychapter/chapter\\_135.pdf](http://www.ncga.state.nc.us/enactedlegislation/statutes/pdf/bychapter/chapter_135.pdf)

NC State Treasurer's Retirement home page:

<http://www.nctreasurer.com/dsthome/RetirementSystems>

### Privileges for Retired Faculty

The following University websites provide information on privileges awarded to retired faculty:

#### 1. ECU Retired Faculty Association

The East Carolina University Retired Faculty Association (ECURFA) provides retired faculty with a continuing link to the university and to colleagues and friends through social activities, receptions, and group travel. It also provides an opportunity to give back to the university through an endowment fund. Go to the following below to obtain further information: <http://www.ecu.edu/ecurfa>.

#### 2. Parking permits

The parking privileges for retired faculty are outlined in The Parking and Transportation Policy (200-0070) under "Special Parking Situations", sections "Phased Retirement" and "Retired Faculty". Refer to the link below to obtain current information on parking privileges for retirees: [http://www.ecu.edu/parking/standard\\_manual.cfm](http://www.ecu.edu/parking/standard_manual.cfm)

#### 3. ECU 1 Card

The ECU 1 Card is the official university photo ID card. Some privileges for retired faculty require presenting an ECU 1 Card (Retiree version). Procedures for obtaining an ECU 1 Card for retirees can be found at the website listed below:

<http://www.ecu.edu/cs-admin/1card/getthecard.cfm>

#### 4. E-mail

Retired faculty may continue to use their ECU e-mail account in accordance with University guidelines. Details can be found at the ITCS website:

<http://www.ecu.edu/cs-itcs/email/FacultyStaffEmail.cfm>

#### 5. Student Recreation Center membership

Retired faculty may purchase annual, semester, or summer memberships to the Student Recreation Center. They must present their ECU 1 Card when purchasing a membership. Refer to the website below to obtain further information:

<http://www.ecu.edu/cs-studentlife/crw/membership/fees.cfm>

#### 6. Joyner Library access

Retired faculty may apply for borrowing privileges at the Joyner Library Circulation desk. They must present their ECU 1 Card to obtain services. Further information may be obtained at the website below: <http://www.ecu.edu/cs-lib/accesssrv/circulation/circpolicy.cfm>

#### 7. Laupus Library access

Retired faculty may apply for borrowing privileges at the Laupus Library Circulation desk. They must present their ECU 1 Card to obtain services. Further information may be obtained at the website below: <http://www.ecu.edu/cs-dhs/laupuslibrary/circulation.cfm>.  
(FS Resolution #11-60, April 2011)

### J. Salary Policies

Faculty annual salaries are paid semimonthly. New faculty receive the first payment on the first available payroll date as stated in the individual's appointment letter. When the 15th or last day of a month falls on a non-work day for the business office, distribution of payment will be made on the last work day prior to that day. Arrangements must be made with the payroll office to have all payments deposited in a local bank to the faculty member's account. Salaries for summer teaching are paid in accordance with the faculty member's appointment letter. Nine month faculty salaries are paid in 24 installments from September 15 to August 31. Any appointment change that affects this will be included in the individual's appointment letter.

Federal and state income tax withholdings are based off information furnished to the payroll office on the US Treasury Department Form W-4 and North Carolina Department of Revenue Form NC-4, respectively.

New Faculty and non-immigrant visa holders must complete an I-9 form and updated forms when required by Federal law. Criminal background checks will also be conducted on all new faculty per the applicable policy statement.

For a more detailed description on Salary Policies (e.g. overloads, summer overloads, research/creative activity, less than full time employees, etc.) please refer to: [ECU Policy Manual](#), [Human Resources](#), and [Financial Services \(payroll\)](#).

For a full-time member of the faculty or EPA professional staff, the salary approved by the Board of Governors is the full compensation to be expected during the period of employment. No additional payments may be made for university duties that are generally related to the position to which the individual is appointed. The period of appointment includes all formal holidays and interludes during which no classes are scheduled.

Regardless of the salary source, total compensation paid during the period of appointment cannot exceed the salary amount authorized in the current appointment letter, except for extraordinary situations that must be approved in advance by the supervisor, department chair or school director, dean and vice chancellor.

### Less Than Full-time Employees

Upon appropriate approvals, individuals with appointments of less than full-time during an academic year or fiscal year can increase their commitment up to full-time with additional compensation. However, in no event may the effort of an individual exceed full-time commitment unless specifically approved in advance; additional compensation must be proportional to the base salary rate and not exceed full-time equivalency unless specifically approved in advance.

#### Research/Creative Activity

It is expected that such other proposed duties or tasks may require reduction in other planned responsibilities of the faculty or professional staff member. For example, arrangements may be made for reassigned time or research contract “buyouts” if faculty members are to conduct sponsored program activities during the regular academic year. Sponsored program activity does not normally constitute extraordinary or exceptional projects for consideration for supplemental payment.

#### Overloads

Under extraordinary circumstances, overloads may be approved for faculty to teach additional for credit courses. This is only allowable if this does not cause a conflict of commitment with other assigned duties, and the faculty member has an appropriate workload prior to consideration of the overload.

#### Summer Overloads

No overloads will be permitted during summer school sessions except in extraordinary circumstances and with prior approval. Compensation from any and all salary sources for summer employment may be arranged not to exceed three-ninths of the previous year’s nine-month annual salary base rate. The pay rate from summer school funds and distance education summer school courses will be based on a percentage of the nine-month rate up to a published annual maximum per session. The specific rates may be obtained through the office of the Provost.

Work for ECU Outside the Home Unit: Prior approval to teach or perform other duties outside the faculty member’s home unit is required from all involved administrative levels.

#### Salary Conversion Rate for Faculty

Information regarding salary conversion rates for faculty is detailed in individual appointment letters or the applicable policy is referenced in individual appointment letters.

#### External Activities for Pay

The policies covering Faculty and Professional Staff income derived from external activities for pay are governed by the *ECU Faculty Manual*. Individuals are expected to comply with these policies that include seeking prior administrative permission to the commencement of the activity and the filing of annual conflict of interest statements at the end of the academic year.

(FS Resolution #12-70, April 2012)

#### K. Emeritus Faculty Privileges

Upon the recommendation of the unit personnel committee, unit head, appropriate dean, and appropriate vice chancellor, in accordance with criteria defined in the unit code, the chancellor may grant the faculty retiree emeritus status (as defined in Personnel Policies and Procedures for the Faculty, Appendix C) which includes the continuance of eligibility

to march, wearing appropriate regalia, in University commencement exercises and other University formal processions, as active faculty. (FS Resolution #11-60, April 2011)

K. Tenure

**Deleted from Faculty Manual and relocated into revised Appendix C and Appendix D as appropriate.** (FS Resolution #10-32, March 2010)

*See Appendix C, Personnel Policies and Procedures for the Faculty of East Carolina University and Appendix D, Tenure and Promotion Policies and Procedures of East Carolina University.*

L. Travel and Expense Allowances

Paid Travel

All business related travel must have written authorization and be approved in advance as requested by either the academic department or college. Full documentation and explanation are required for all travel. Business related travel may be covered by the university using department funds or through grant funds or other sources. All reimbursement requests shall be filed for approval and payment made within thirty days after the end of the travel period for which reimbursement is being requested.

The mode of transportation for travel could be completed by the following methods: private car, state car, rental car, airplane, bus, taxi, railroad, etc. For more information on travel approval and reimbursements, refer to the following Financial Services websites:

[http://ecu.edu/cs-admin/financial\\_serv/indextraveloffice.cfm](http://ecu.edu/cs-admin/financial_serv/indextraveloffice.cfm)

[http://ecu.edu/cs-admin/financial\\_serv/accountspayable/TravelApprovalandReimbursement.cfm](http://ecu.edu/cs-admin/financial_serv/accountspayable/TravelApprovalandReimbursement.cfm)

Unpaid Travel

If a faculty member is traveling for business reasons, but is not going to be reimbursed for travel expenses, the pre-approved travel authorization forms still need to be completed. This process helps with the authorization of workers' compensation should an accident occur during the travel period. (FS Resolution #11-19, February 2011)

II. Benefits and Leave

A. Benefits

A variety of benefits are available to permanent employees of ECU, based on specific eligibility criteria. All benefits are subject to state regulations, university policies and procedures, and individual plan documents. Employee benefits are subject to change and reasonable notice is provided to employees by Human Resources when changes occur. Information about benefits may be obtained from the University Benefits Office in Human Resources located online at:

[http://www.ecu.edu/cs-admin/HumanResources/Staff\\_Faculty.cfm](http://www.ecu.edu/cs-admin/HumanResources/Staff_Faculty.cfm).

See the [University Policy Manual](#) for more information.

(FS Resolution #11-61, April 2011)

B Workers' Compensation

All university employees, including paid student workers, are covered by workers' compensation that provides for certain benefits in the event there is an on-the-job injury or illness. If and when an on-the-job injury or illness should occur, it should be

reported immediately to the supervisor who will notify the appropriate university offices. For additional information about workers' compensation and related forms see the [University Policy Manual](#) and Environmental Health and Safety website <http://www.ecu.edu/cs-admin/oehs/ih/workerscomp.cfm>.  
(FS Resolution #11-61, April 2011)

C. Disability Insurance

ECU has disability insurance coverage for both short-term (2 to 12 months with the possibility of a 12 month extension) and long-term (greater than 12 months) situations. The specific details of the disability insurance options can be found at the HR Benefits website: <http://www.ecu.edu/hr/benefits.cfm>. Questions regarding disability coverage should be directed to a University Benefits Counselor listed online at [http://www.ecu.edu/cs-admin/HumanResources/HR\\_Staff.cfm](http://www.ecu.edu/cs-admin/HumanResources/HR_Staff.cfm)

(FS Resolution #11-61, April 2011)

D. Vacation and Sick Leave

Faculty with twelve-month employment contracts may be granted leave as authorized by the vice chancellors and chancellor. Teaching faculty with twelve-month employment contracts may only be granted vacation leave and are not eligible for sick leave. Teaching faculty who have a nine-month employment contract do not earn vacation or sick leave. (FS Resolution #11-61, April 2011)

E. Faculty Serious Illness and Parental Leave Policy

This policy provides leave with pay for eligible faculty for cases of serious health conditions, maternity leave, or parental leave as defined by the Family and Medical Leave Act. Refer to the [University Policy](#) for more information.

(FS Resolution #11-61, April 2011)

A. Hospitalization Insurance

**Deleted from Faculty Manual.**

(FS Resolution #11-61, April 2011)

C. Mandatory Enrollment in Group Life Program

**Deleted from Faculty Manual.**

(FS Resolution #11-61, April 2011)

D. Group Insurance Plans

**Deleted from Faculty Manual.**

(FS Resolution #11-61, April 2011)

E. Social Security

**Deleted from Faculty Manual.**

(FS Resolution #11-61, April 2011)

F. Deferred Compensation Plan

**Deleted from Faculty Manual.**

(FS Resolution #11-61, April 2011)

- G. Supplemental Retirement Income Plan of NC (401K)  
**Deleted from Faculty Manual.**  
(FS Resolution #11-61, April 2011)
- H. Tax Deferred Annuity  
**Deleted from Faculty Manual.**  
(FS Resolution #11-61, April 2011)
- I. US Savings Bonds  
**Deleted from Faculty Manual.**  
(FS Resolution #11-61, April 2011)
- J. Unemployment Compensation Benefits  
**Deleted from Faculty Manual.**  
(FS Resolution #11-61, April 2011)
- M. Flex Reimbursement Accounts  
**Deleted from Faculty Manual.**  
(FS Resolution #11-61, April 2011)
- III. Institutional Services Available to Faculty
- A. Academic Apparel  
**Combined with Faculty Marshals and Mace Bearers information.**  
(FS Resolution #10-16, February 2010)
- B. Admission to Athletic Events  
**Deleted from manual and placed elsewhere in an informational handbook.**  
(FS Resolution #10-16, February 2010)
- C. Cardiovascular Disease Risk Factor Identification/Reduction Program  
**Deleted from manual and placed elsewhere in an informational handbook.**  
(FS Resolution #10-16, February 2010)
- D. Central Ticket Office  
**Deleted from manual and placed elsewhere in an informational handbook with suggestion to include with text from section on Admission to Athletic Events.**  
(FS Resolution #10-16, February 2010)
- E. Information and Computer Services  
Information Technology and Computing Services (ITCS) supports employees through the integration of information, technology, and instruction. <http://www.ecu.edu/itcs>  
(FS Resolution #10-16, February 2010)
- F. Continuing Education  
**Deleted from manual and placed elsewhere in an informational handbook.**  
(FS Resolution #10-16, February 2010)
- G. Credit Union  
**Deleted from manual.**  
(FS Resolution #10-16, February 2010)
- H. Dining Services

**Deleted from manual and placed elsewhere in an informational handbook.**  
(FS Resolution #10-16, February 2010)

I. Grants, Contracts, and Cooperative Agreements

ECU's Office of Sponsored Programs (OSP) has responsibility for pre-award activities involved in the preparation and submission of proposals on behalf of ECU to external sponsors for support of projects in research, creative activity, training, and public service. OSP must review and approve all proposals for grants, contracts, and cooperative agreements prepared by faculty for submission to outside funding sources before submission to external sponsors.

The Office of Grants and Contracts (OGC) is the University Office responsible for post-award activities related to projects that have been awarded by external sponsors to ECU faculty that support projects/programs in research, creative activity, training, and public service/clinical care. OGC is responsible for ensuring that expenditures are in accordance with sponsor and institutional guidelines. OGC also assists investigators in preparing information for sponsor required financial reporting. (FS Resolution #12-07, February 2012)

J. Housing

**Deleted from manual and placed elsewhere in an informational handbook.**  
(FS Resolution #10-16, February 2010)

K. Mendenhall Student Center

**Deleted from manual and placed elsewhere in an informational handbook.**  
(FS Resolution #10-16, February 2010)

L. Police Department

**Deleted from manual and placed elsewhere in an informational handbook.**  
(FS Resolution #10-16, February 2010)

M. Post Office and Campus Mail Service

**Deleted from manual and placed elsewhere in an informational handbook.**  
(FS Resolution #10-16, February 2010)

N. Radiation Safety

**Deleted from manual and placed elsewhere in an emergency procedures manual.**  
(FS Resolution #10-16, February 2010)

O. Recreational Services

**Deleted from manual.**  
(FS Resolution #10-16, February 2010)

P. Supplies, Equipment, and Contractual Services

**Deleted from manual.**  
(FS Resolution #10-16, February 2010)

Q. Telephone Service

**Deleted from manual.**  
(FS Resolution #10-16, February 2010)

R. Tuition Privileges for Faculty

In accordance with North Carolina General Statute, East Carolina University faculty are eligible to take classes at a reduced cost. See [http://www.ecu.edu/cs-admin/financial\\_serv/cashier/Tuition-Waiver.cfm](http://www.ecu.edu/cs-admin/financial_serv/cashier/Tuition-Waiver.cfm) for more information. (FS Resolution #10-95, December 2010)

IV. Employment of Related Persons

**Deleted from manual and placed elsewhere in the University Policy Manual with a weblink to the UNC Policy.**

(FS Resolution #10-39, March 2010)

V. External Professional Activities of Faculty and Other Professional Staff

**Deleted from Faculty Manual and relocated into revised Appendix I.**

(FS Resolution #10-33, March 2010)

VI. Equal Employment Opportunity/ Affirmative Action Policy and University Commitment to Diversity

East Carolina University celebrates diversity among its faculty, staff, and students, and is committed to fostering respect for human difference and equal opportunities for all, regardless of membership in a University protected class. To that end, the Office of Equity, Diversity and Community Relations develops and implements equal employment opportunity policies and diversity programs. Information about the Office of Equity, Diversity and Community Relations programs and policies, the University's protected classes and related nondiscrimination policies and procedures may be found by visiting the Office's Web site at [www.ecu.edu/edc](http://www.ecu.edu/edc). (FS Resolution #10-86, November 2010)

VII. Other Personnel Policies

A. Substance Abuse Policy

The highest standards of personal and professional conduct must be maintained by faculty, staff, and students. Illegal or abusive use of drugs or alcohol, referred to in this policy as substance abuse, by members of the university community adversely affects the mission of the university and is prohibited. A substance abuse policy adopted by the East Carolina University Board of Trustees, consistent with the UNC Board of Governors' Policy on Illegal Drugs, is intended to: prevent substance abuse through a strong educational effort; encourage and facilitate the use of counseling services and rehabilitation programs by those members of the university community who require their assistance in stopping illegal or abusive use of drugs or alcohol; and discipline appropriately those members of the university community who engage in illegal drug or alcohol related behaviors.

The substance abuse policy of East Carolina University is located at <http://www.ecu.edu/prr>. The UNC Board of Governor's Policy on Illegal Drugs (Chapter 1300.1) is located at <http://www.northcarolina.edu/policy/index.php>. (FS Resolution #10-97, December 2010)

B. Weapons Policy

It is a violation of University policy for a member of the University community to possess and/or use a weapon on any university owned or controlled property, or at extracurricular events sponsored by the university. Any faculty member who violates this policy may be subject to serious sanctions imposed by the university in accordance with due process as outlined in the university's tenure and promotion policies and procedures, as well as punishment in accordance with state criminal law. For further details and certain exceptions, see North Carolina General Statute § 14-269.2 located online at:

## VIII. Frequently Asked Questions About Faculty Personnel Records

**This section will be deleted from the ECU Faculty Manual once Appendix C. Personnel Policies and Procedures for the Faculty of ECU has been revised to include this information.** (FS Resolution #10-34, March 2010)

### 1. What is the definition of a “personnel file?”

North Carolina law defines a personnel file as any information gathered by East Carolina University that relates to an individual’s application, selection or non-selection, promotion, demotion, transfer, leave, salary, suspension, performance evaluation, disciplinary action, or termination of employment, wherever located and in whatever form. Records related to grievances and appeals of non-reappointment and non-conferral of tenure are personnel records. The Personnel Action Dossier (“PAD”) is an evaluative document and is a personnel record. Like other personnel records, the PAD is University Property and is retained by the University.

### 2. Where can I find the state laws that pertain to personnel records?

You will find the statutes that relate to personnel records for state employees in the General Statutes of North Carolina in Chapter 126. The General statutes are located in Joyner Library and in the University Attorney’s Office. You can also access the statutes on the Internet at: [www.ncga.state.nc.us/Statutes/Statutes.html](http://www.ncga.state.nc.us/Statutes/Statutes.html) or [www.allaw.com/state\\_law\\_search/north\\_carolina/](http://www.allaw.com/state_law_search/north_carolina/) (Please note that the statutes reported on the internet may not be accurate and may not be updated in a timely manner to reflect the latest supplements.)

Section 126-5 of the General Statutes of North Carolina makes the provisions of Chapter 126 applicable to all State employees and ECU faculty. Sections 126-22 et seq. in Article 7 (The Privacy of State Employee Personnel Records) defines personnel records (126-22), determines who has access to personnel records (126-23), provides for the confidentiality of personnel records (126-24), and provides remedies for employees objecting to material in the personnel file (126-25), among other things.

### 3. What does “wherever located and in whatever form” mean?

It means that your personnel records may be located in different offices on campus. Documents that meet the statutory definition will be considered personnel records.

### 4. Where is my personnel file located?

Faculty will have a primary personnel file located in his/her Code Unit Administrator’s Office. In addition, there may be other files containing personnel records that are located in approved University offices. The Department of Human Resources will have only documents about faculty employment that reflect basic employment and benefits information. Please consult the Personnel File Checklist that has been attached to the inside cover of your primary personnel file to confirm the offices where your personnel records are located. (Faculty Senate Resolution #02-04, January 2002)

### 5. Are there other files that may contain information about me?

Records related to your employment may be found in the offices identified in FAQ # 4 and FAQ #5. However, if you have filed a grievance, an appeal of non-reappointment or non-conferral of tenure; or a complaint was filed by you or against you with the ECU EEO Office alleging sexual harassment, discrimination based on age, race, religion, or disability, or a violation or the

amorous relations policy; or you are subject to a disciplinary action, records from your personnel file may be included in an appeal hearing file or investigative file prepared by the EEO Office or by the University Attorney's Office.

Please note that those personnel records in the EEO Office or the University Attorney's Office remain confidential, but the documents collected and/or created in those offices would be part of an investigative/preparation file and would not be considered part of your personnel file. Disclosure of documents in those files would be subject to the applicable University policies and state laws. Additionally, the University would formally notify you in accordance with the relevant policy, if a complaint or grievance was filed against you, and would follow the procedures prescribed for due process. In most cases, personnel documents maintained in those files would be duplicates of documents in your primary personnel file.

If you have any questions about University policies that are referenced above, you may wish to review these sections of the *ECU Faculty Manual*:

Appendix D.	Procedures for Appeal of Notice of Non-Reappointment or Non-Conferral of Permanent Tenure
Appendix I.	East Carolina University Policy on Conflicts of Interest and Commitment
Appendix J.	Informal Faculty Grievance Procedure for Grievances Involving Sex Discrimination and Other Equal Employment Opportunity Complaints
Appendix U.	Policy on Improper Relationships Between Students and Faculty
Appendix V.	Sexual Harassment, Discrimination, and Conflicts of Interest Policies
Appendix W.	Racial and Ethnic Harassment Policies
Appendix X.	Grievance Procedures for Complaints of Sexual or Racial Harassment or Discrimination or Conflicts of Interest Brought Against East Carolina University Faculty Members or Administrators Holding Faculty Status
Appendix Y.	Grievance Policies and Procedures of East Carolina University

6. Is there any truth to rumor about the existence of secret files?

No. Personnel files should only be kept in University offices and should always be accessible to you during regular business hours with reasonable advance notice. Administrators shall not keep secret files and shall not include anonymous material in personnel files, except student opinion surveys. See Frequently Asked Question #4 for the file locations. (Faculty Senate Resolution #02-04, January 2002)

7. When can I review my personnel file?

Although your personnel file is about you, it is University property. You have complete access to your personnel records during regular business hours with advance notice to the custodian of the records. Advance notice is required so that your file can be gathered from other offices, if necessary, and so that confidential documents, like references for initial employment or certain medical information, can be removed. Additionally, the custodian of records will need to make arrangements to have office staff available to oversee the review process to ensure the integrity and safekeeping of the records and to assist in making copies, if necessary. While reasonable efforts will be made to provide you with quick access to your file, it may take some time to make the necessary arrangements. Please note that documents cannot be added to or removed from the personnel file at this time. The University reserves the right to limit the number of copies and to make only one complete copy of the PAD.

8. Is any information in my personnel file considered public information?

Yes. State law requires that the University permit the public to have access to the following information about your personnel records: name, age, date of original state employment, current position or title, current salary, date and amount of most recent salary change, date of most recent status change (promotion, resignation, termination, etc.), and current office assignment.

9. What information is considered confidential personnel information?

As stated above in FAQ #8, Section 126- 23 of the General Statutes of North Carolina provides that certain records to be kept by State agencies are open to inspection. Those records include a record of each State employee showing the following information with respect to each such employee: name, age, date of original employment or appointment to the State service, current position, title, current salary, date and amount of most recent increase or decrease in salary, date of most recent promotion, demotion, transfer, suspension, separation, or other change in position classification, and the office or station to which the employee is currently assigned.

All other information contained in the personnel file is confidential and shall not be open for inspection and examination except to the following persons:

- 1) The employee, applicant for employment, former employee, or his/her properly authorized agent, who may examine his/her own personnel file in its entirety except for (i) letters of reference solicited prior to the employment, or (ii) information concerning a medical disability, mental, or physical, that a prudent physician would not divulge to a patient. An employee's medical record may be disclosed to a licensed physician designated in writing by the employee;
- 2) The supervisor of the employee;
- 3) Members of the General Assembly who may inspect and examine personnel records under the authority of G.S. 120-19;
- 4) A party by authority of a proper court order may inspect and examine a particular confidential portion of a State employee's personnel file;
- 5) An official of an agency of the federal government, State government or any political subdivision thereof.

10. Is there any information in my personnel file that I do not have access to?

As mentioned in FAQ # 9, reference letters solicited prior to employment and medical records that a prudent physician would not disclose to his/her patient shall not be disclosed to the faculty member.

11. Does anyone, other than me, have access to my confidential personnel records?

Yes. Anyone that you properly authorize (in a written release) may have access to your records. Your supervisor(s), members of the General Assembly, anyone with a proper court order, and officials of federal and state agencies may also inspect and examine your personnel records. In accordance with Appendix D of the *ECU Faculty Manual*, the Personnel Action Dossier is compiled by candidates for reappointment, promotion, and/or permanent tenure in consultation with the unit administrator and the Unit Personnel Committee. The Code Unit Administrator and the Unit Personnel Committee have access to your personnel records.

12. What can I do if I consider material in my personnel file to be inaccurate or misleading?

Section 126-25 of the General Statutes of North Carolina states that an employee, former employee, or applicant for employment who objects to material in his/her file may place in his/her file a statement relating to the material he/she considers to be inaccurate or misleading. Statements relating to the objectionable material should be submitted to the Code Unit Administrator. Removal of the offensive material may be sought in accordance with Appendix Y

of the *ECU Faculty Manual*; however, informal resolution of disputes about the inaccuracy or misleading nature of material in your personnel file is encouraged before resorting to Appendix Y procedures.

13. How long does the University keep my personnel file?

Personnel records are kept in accordance with the Record Retention and Disposition Schedule approved by the University Archivist, the Director of the Division of Archives and History, the Chancellor, and the Secretary of Cultural Resources. Although it depends on the type of document, most personnel records are stored, and transferred to the State Records Center to be microfilmed for permanent security storage in the Archives vault.

14. If I have other questions about my personnel file, where should I look or whom should I contact for more information?

For more specific information, you may refer to the General Statutes of North Carolina, Appendix C, and Appendix D ("PAD") of the *ECU Faculty Manual*, contact the Faculty Senate Office at 328-6537, or contact the University Attorney's Office at 328-6940.

#### FACULTY PERSONNEL FILE CHECKLIST (Division of Academic Affairs)

Your primary personnel file is located in the office of your Code Unit Administrator, Dr./Dean \_\_\_\_\_, and may be reviewed at any time during regular business hours with advance notice to the custodian of records or his/her designee. Advance notice is required so that your files can be gathered from other offices, if necessary, and so that confidential documents, like references for initial employment or certain medical information, as described in the General Statutes of North Carolina, can be removed. The custodian of records will need to make arrangements to have office staff available to oversee the review process to ensure the integrity and safekeeping of the records and to assist in making copies, if you request same. While reasonable efforts will be made to provide you with quick access to your file, it may take some time to make the necessary arrangements. Multiple copies of the same document may be limited.

Please note that you cannot add to or remove documents from your personnel files at the time you review your files. If you have concerns about documents in your files, please bring them to the attention of the custodian of records. You can object to inaccurate or misleading information in your files by putting your objections in a written statement to your Code Unit Administrator, who will add your statement to the file(s) you are concerned about. Removal of offensive materials may be sought in accordance with the procedures in Appendix Y of the *ECU Faculty Manual*.

Location of Records Related to Employment:

- Code Unit Administrator's Office
- Dean's Office
- Academic Department Chair's Office in Professional Schools
- Vice Chancellor for Academic Affairs' Office
- Department of Human Resources

Other Files Containing Personnel Records May be Located:

- Equal Employment Opportunity/Affirmative Action Office
- University Attorney's Office
- Faculty Senate Office

Please note that reference letters solicited prior to employment and medical records that a prudent physician would not disclose to his/her patient shall not be disclosed to you and should be kept in a sealed envelope that can be easily removed from your file. Additionally, medical records related to a medical condition or disability should be maintained in a separate envelope. Questions about your personnel records should be directed to the Faculty Senate office or the University Attorney's office.

#### FACULTY PERSONNEL FILE CHECKLIST (Division of Health Sciences)

Your primary personnel file is located in the office of your Code Unit Administrator, Dr./Dean \_\_\_\_\_, and may be reviewed at any time during regular business hours with advance notice to the custodian of records or his/her designee. Advance notice is required so that your files can be gathered from other offices, if necessary, and so that confidential documents, like references for initial employment or certain medical information, as described in the General Statutes of North Carolina, can be removed. The custodian of records will need to make arrangements to have office staff available to oversee the review process to ensure the integrity and safekeeping of the records and to assist in making copies, if you request them. A reasonable number of copies will be provided at no cost to the faculty member. While reasonable efforts will be made to provide you with quick access to your file, it may take some time to make the necessary arrangements. \_\_\_\_\_ will serve as the custodian of personnel records for the Brody School of Medicine and the Office of the Vice Chancellor for Health Sciences.

Please note that you cannot add to or remove documents from your personnel files at the time you review your files. If you have concerns about documents in your files, please bring them to the attention of the custodian of records. You can object to inaccurate or misleading information in your files by putting your objections in a written statement to your Code Unit Administrator, who will add your statement to the file(s) which concern(s) you. Removal of inaccurate or misleading materials may be sought in accordance with the procedures in Appendix Y of the *ECU Faculty Manual*.

#### Location of Records Related to Employment:

- Code Unit Administrator's Office
- Dean's Office
- Academic Department Chair's Office
- Center Administrator's Office (ex. Center for Advancement of Health)
- Department Section Head's Office
- Vice Chancellor for Health Sciences' Office
- Department of Human Resources

#### Other Files Containing Personnel Records May be Located:

- Equal Employment Opportunity/Affirmative Action Office
- University Attorney's Office
- Faculty Senate Office

#### Additional Records for Physician Faculty - located at Brody SOM and Pitt County Memorial Hospital:

- Medical Faculty Practice Plan Benefits Office
- Managed Care Office
- ECU Physicians Credentialing Office
- PCMH Credentials Verification Office (Medical Staff Support)

This notifies you that certain Brody School of Medicine or other ECU offices (including, but not limited to, University Attorney, Equal Employment Opportunity, Compliance, BSOM Risk Management, CME, etc.) may maintain records (including, but not limited to, attendance records for mandatory training sessions, orientation, and CME programs; routine audits of medical records and billing documentation; Quality Assurance; malpractice; etc.) related to your employment and which may constitute personnel records. Should you wish to verify whether such offices maintain records related to your employment, you may contact the specific office for further information regarding your records and/or \_\_\_\_\_ within the Office of the Vice Chancellor for Health Sciences.

Please note that reference letters solicited prior to employment and medical records that a prudent physician would not disclose to his/her patient shall not be disclosed to you and should be kept in a sealed envelope that can be easily removed from your file. Additionally, medical records governed by General Statute, if any, would be maintained in a separate envelope. Questions about your personnel records should be directed to the Faculty senate office or to the University Attorney's office.

Approved: Faculty Senate Resolution #00-13, April 5, 2000

Amended: Faculty Senate Resolution #02-04, January 2002; Faculty Senate Resolution #02-13, March 2002; Faculty Senate Resolution #03-13, March 2003; Faculty Senate Resolution #03-14, March 2003

Deleted: with text to be incorporated into revised Appendix C. Personnel Policies and Procedures for the Faculty of ECU, Faculty Senate Resolution 10-34, May 5, 2010

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*Latest revisions made to Part VI. - 11-3-11*