



## Open Forums on Proposed Revisions to Faculty Personnel Policies and Procedures

The Faculty Governance Committee is hosting two open forums to encourage faculty discussion on proposed revisions (provided below) to the Faculty Personnel Policies and Procedures contained in Part VIII, Section I. of the *ECU Faculty Manual*.

Open forums are scheduled:

Tuesday, September 19<sup>th</sup>      4:00-6:00 pm      Mendenhall Student Center, room 244  
[Link to video live stream](#)

Wednesday, September 20<sup>th</sup>      4:00-6:00 pm      Brody Building, room #2E-100  
[Link to video live stream](#)

Light refreshments will be provided and the forums will be live streamed for those unable to attend.

Please direct comments or questions to Professor Tracy Carpenter-Aeby, Chair of the Committee at [carpenteraebyt@ecu.edu](mailto:carpenteraebyt@ecu.edu) or Professor Derek Maher, Vice Chair of the Committee at [maherd@ecu.edu](mailto:maherd@ecu.edu).

Current Part VIII, Section I

<http://www.ecu.edu/cs-acad/fsonline/customcf/currentfacultymanual/part8section1.pdf>

Proposed Part VIII, Section I

<http://www.ecu.edu/cs-acad/fsonline/customcf/fsagenda/2017/Fall2017ProposedRevisionstoPartVIII.pdf>

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EAST CAROLINA UNIVERSITY  
FACULTY MANUAL

PART VIII

Personnel Policies and Procedures  
for the Faculty of  
East Carolina University<sup>1</sup>

<sup>1</sup>For other policies and procedures dealing with faculty appointments, see *ECU Faculty Manual*, Part IX and Part X.

47 PART VIII - PERSONNEL POLICIES AND PROCEDURES FOR THE FACULTY OF  
48 EAST CAROLINA UNIVERSITY

51 SECTION I

52 PERSONNEL POLICIES AND PROCEDURES FOR THE FACULTY OF  
53 EAST CAROLINA UNIVERSITY

54 *(Text moved from former Appendix G)*

57  
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89  
90 I. Selection and Appointment of New Faculty  
91 A. Determination of Number and Nature of Positions  
92 Allocation of faculty positions is the prerogative of the Academic Council.

93 The deans and directors shall determine the distribution of positions within their  
94 college and schools in accordance with strategic priorities.  
95

96  
97 Acting in accord with the policies and procedures set forth in the Unit Code, the  
98 unit administrator shall recommend, **with input from the faculty**, to the next higher  
99 administrator (for conveyance to the Academic Council) the number and nature  
100 of faculty positions needed to carry out the unit’s mission and achieve the  
101 university, division, college and unit planning goals. Such recommendations shall  
102 ~~be developed with input from the unit’s fixed-term, probationary term, and~~  
103 ~~tenured faculty, and shall~~ contain justifications addressing the unit staffing plan  
104 and appropriate planning goals of the university, division, college, and unit.  
105

106 ~~The Academic Council and deans shall not require that a faculty position be~~  
107 ~~fixed-term rather than probationary term~~ In general, **tenured and probationary**  
108 **term (tenure-track) positions are preferred** unless sound reasons exist. Such  
109 reasons include, but are not limited to; (a) the position is not permanently  
110 assigned to the unit, (b) the position is addressing temporary needs, (c) the  
111 position cannot be filled by a faculty member with a terminal degree, (d) the  
112 duties of the position are primarily clinical, (e) the position is by its nature term-  
113 limited (term-limited endowed professorships, for example), (f) this reflects the  
114 preference of the faculty member taking the position, or (g) budgetary **or strategic**  
115 considerations.  
116

117 B. Selection Procedure

118 ~~The unit administrator shall notify the unit personnel committee of the number~~  
119 ~~and nature of positions allocated to the unit.~~ The selection of candidates must  
120 ~~then proceed~~ **in be conducted in** accordance with **the University’s “Recruitment,**  
121 **Guidelines and Resources” policies, Part IX, Section I. Tenure and Promotion**  
122 **Policies and Procedures, the most recently revised Affirmative Action Plan,** and  
123 applicable unit code provisions. ~~The type of search (i.e., local, regional, national)~~  
124 ~~required is governed by University EEO policies.~~  
125

126 C. General Criteria<sup>4</sup>

127 ~~For appointment,~~ ECU is committed to recruiting, retaining, and developing  
128 faculty that are highly accomplished in teaching and scholarship, including  
129 research and creative activities. Accordingly, research and creative activities that  
130 align with the institution’s mission, engage students in effective ways, and  
131 advance our academic disciplines are an expectation of all tenured and  
132 probationary (tenure-track) faculty.  
133

- 134 1. ~~A faculty member~~ candidate who is under consideration for a tenured or  
135 **probationary term position** ~~is tenured or probationary~~ is evaluated on past

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

136 achievements and potential for future contributions in [teaching, scholarship,](#)  
137 [service, and contributions to patient care and related clinical activity as](#)  
138 [described below:](#)

139  
140 a. Teaching

141 East Carolina University recognizes the primary importance of  
142 teaching. East Carolina University expects each member of the faculty  
143 to have knowledge of subject matter commensurate with one's  
144 teaching assignment, to maintain awareness of developments in one's  
145 discipline, and to communicate to students one's knowledge of and  
146 interest in the discipline. The faculty member will encourage students  
147 in responsible and careful inquiry, in appreciation of the interrelation of  
148 various disciplines, and in recognition of the uses of learning and the  
149 value of the educated mind. Teaching includes [instructional](#) activities  
150 and responsibilities beyond the classroom setting, e.g., advisement;  
151 mentoring; laboratory supervision; clinical rounds by a  
152 physician/professor accompanied by students; [program direction](#); the  
153 direction of research projects and papers, dissertations, and theses;  
154 and

155 b. Scholarship (Research, Creative Activity/Innovation, Engagement,  
156 and/or Outreach)

157 Scholarship refers to the scholarship of research, the scholarship of  
158 creative activity/innovation, and the scholarship of engagement and/or  
159 outreach. ~~The relative importance of each type of scholarship, and the  
160 type of activity to be considered under each category must be clearly  
161 defined in the unit code. The procedures by which relative weights are  
162 established for each individual faculty member for annual evaluation,  
163 tenure, and promotion must also be clearly defined in the unit code.  
164 East Carolina University encourages and supports the continuing  
165 efforts of faculty to develop a deeper appreciation of the importance of  
166 professional competency acquired through scholarship that is  
167 appropriate to one's discipline. A faculty member's scholarship shall  
168 reflect the high professional standards incumbent upon those who  
169 enjoy full academic freedom; such activities must be measured by  
170 standards of quality, not merely by quantity. Evaluation of scholarship  
171 must be based primarily on peer-reviewed materials as defined in the  
172 unit code.~~

173  
174 c. Service to the university, the profession, and the community

175 East Carolina University considers service to the university, the  
176 academic profession, and the community as an important aspect of [a](#)  
177 [faculty member's contribution.](#) The types of service a faculty member  
178 contributes to the university, the college, the department, and the  
179 community shall be defined in the unit code. (See Section III.4).  
180 Faculty members' on-campus presence is expected to the extent  
181 necessary in the performance of these responsibilities.

182  
183 d. Contributions to patient care and related clinical activity, as appropriate

184  
185 2. Fixed-Term Positions  
186 A candidate who is under consideration for a tenured or probationary term  
187 position is evaluated on past achievements and potential for future  
188 contributions in the areas of responsibility stated in the advertisement for the  
189 position ~~contract~~ and established in the unit code..

190  
191 D. Requirements for ranks and titles

192 1. General Provisions  
193 Appointments are made at the academic ranks of ~~instructor~~, assistant  
194 professor, associate professor, and professor. These are the only ranks ~~which~~  
195 ~~that~~ may involve a permanent tenure commitment. Appointments to all other  
196 titles are for a definite term and do not involve a permanent tenure  
197 commitment.

198  
199 The following are the minimum required qualifications ~~which that~~ may be  
200 considered when making appointments.

201  
202 2. Ranks of Probationary Term Appointments

203 ~~Instructor~~  
204 ~~• has evidence of a sound educational background for the specific position~~  
205 ~~or has equivalent professional experience~~  
206 ~~• has completed most or all the requirements for the appropriate terminal~~  
207 ~~degree~~  
208 ~~• has demonstrable proof that the degree will be obtained within a short~~  
209 ~~period of time as agreed upon by the academic unit and the appointing~~  
210 ~~officer~~  
211 ~~• has demonstrated potential for effective teaching~~  
212 ~~• has demonstrated potential for effective clinical practice in disciplines,~~  
213 ~~where appropriate~~

214  
215 Assistant Professor  
216 ~~• has qualifications of the previous rank~~  
217 • has demonstrated potential for effective teaching and other instructional  
218 responsibilities  
219 • has demonstrated potential to develop a program of scholarship that will  
220 lead to professional recognition in the discipline  
221 • has demonstrated ~~potential for~~ effective clinical practice in disciplines,  
222 where appropriate  
223 • holds the appropriate terminal degree (ABD may be considered for initial  
224 appointment) or alternate professional qualifications as determined by the  
225 units and the profession and affirmed by the appropriate vice chancellor,  
226 ~~as evaluated by the academic unit and affirmed by the appointing officer~~  
227 ~~and the profession concerned~~

- 228 • exhibits evidence of potential for ~~continued~~ professional growth in teaching  
229 effectiveness and scholarship
- 230 • has demonstrated ability and willingness to participate in departmental,  
231 college, and university affairs
- 232 • ~~Has membership in professional organizations~~ has demonstrated active  
233 engagement with professional organizations within the discipline

#### 234 Associate Professor

- 235 • has qualifications of the previous rank
- 236 • has demonstrated ~~teaching~~ effectiveness in teaching and/or other  
237 instructional responsibilities
- 238 • has a record of scholarship resulting in publication and/or ~~comparable~~  
239 scholarly productivity appropriate to the discipline and established by the  
240 unit code
- 241 • ~~has demonstrated ability and willingness to participate in departmental,~~  
242 ~~college, and university affairs~~
- 243 • has a demonstrated record of effective service to the university and the  
244 profession
- 245 • has a demonstrated record of effective service to the profession
- 246 • ~~has a record of effective clinical practice in disciplines where appropriate~~

#### 247 Professor

- 248 • has qualifications of the previous rank
- 249 • has an established record of excellence in teaching and other instructional  
250 responsibilities
- 251 • has a significant record of scholarship resulting in publication and/or  
252 ~~comparable~~ other scholarly productivity appropriate to the discipline and  
253 established in the unit code.
- 254 • has demonstrated excellent ability and willingness to participate in  
255 departmental, college, and university affairs
- 256 • has a demonstrated record of significant service/clinical practice to the  
257 university and the profession discipline, where appropriate
- 258 • ~~has a record of effective clinical practice in disciplines where appropriate~~

### 259 3. Titles of Fixed-Term Appointments

- 261 a. Faculty members with duties primarily in instruction have titles of  
262 Teaching Instructor, Senior Teaching Instructor, Teaching Assistant  
263 Professor, Teaching Associate Professor or Teaching Professor. Fixed Term Librarians  
264 are called Library Instructor, Library Assistant Professor, Library Associate Professor, or Library Professor. Unit codes  
265 define expectations for each title. The following general criteria apply to  
266 both teaching and library titles:  
267 Teaching or Library Instructor
- 268 • holds, at a minimum, a master's degree appropriate to the area of  
269 instruction, or has equivalent professional qualifications ~~experience~~
- 270 • has demonstrated potential for effective teaching and/or other  
271 instructional responsibilities
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Senior Teaching or Library Instructor

- has qualifications of the previous title
- has demonstrated excellence in teaching and/or other instructional responsibilities
- engages in professional development activity

Teaching or Library Assistant Professor

- has qualifications of the previous title
- holds the appropriate terminal degree, or alternate professional qualifications, as evaluated by the academic unit and affirmed by the appropriate vice chancellor appointing officer and the profession concerned
- has demonstrated effectiveness in teaching

Teaching or Library Associate Professor

- has qualifications of the previous title
- has demonstrated superior teaching ability and/or other instructional responsibilities
- engages in professional development activities

Teaching or Library Professor

- has qualifications of the previous title
- has demonstrated excellence in teaching
- ~~engages in professional development activities~~
- has ~~demonstrated a degree of proficiency sufficient to~~ established an excellent professional reputation among colleagues
- is qualified and competent in mentoring others (such as graduate students, teaching instructors, etc.)

b. Faculty members with duties primarily in research

Research faculty are typically funded externally. Research faculty are encouraged to give seminars and teach occasional courses in their specialty. Teaching is at the discretion of the unit and the availability of funds.

Research Instructor

- holds a minimum of a master's degree appropriate for the specific position or has equivalent alternate professional experience qualifications.
- has demonstrated potential for effective research
- should be capable of carrying out individual research or should be trained in research procedures
- should have had the experience and specialized training necessary to develop and interpret data required for success in such research projects as may be undertaken

Research Assistant Professor

- has qualifications of the previous title
- holds the appropriate terminal degree, or alternate professional qualifications, as evaluated by the academic unit and affirmed by the appointing officer appointing officer and the profession concerned

- 318 • has demonstrated effectiveness in research
- 319 • is qualified and competent to direct the work of others (such as.
- 320 technicians, graduate students, etc.)
- 321 Research Associate Professor
- 322 • has qualifications of the previous title
- 323 • has extensive successful experience in scholarly or creative endeavors
- 324 • has the ability to propose, develop, and manage major research
- 325 projects
- 326 Research Professor.
- 327 • has qualifications of the previous title
- 328 • has ~~demonstrated a degree of proficiency sufficient to~~ established an
- 329 excellent reputation among colleagues
- 330 • has demonstrated scholarly production in research, publications,
- 331 professional achievements, or other distinguished and creative activity.
- 332

333 c. Faculty members with duties primarily in clinical teaching

334 Clinical Instructor

- 335 • holds, at a minimum, a graduate degree appropriate for the specific
- 336 position or has equivalent professional ~~experience~~ ~~experience~~
- 337 • has demonstrated potential in clinical practice and teaching in the field

338 Clinical Assistant Professor

- 339 • has qualifications of the previous title
- 340 • holds the appropriate professional degree, as evaluated by the
- 341 academic unit and affirmed by the ~~appropriate vice chancellor~~
- 342 ~~appointing officer~~ and the profession concerned
- 343 • has training and experience in an area of specialization
- 344 • has demonstrated expertise in clinical practice and teaching and other
- 345 ~~instructional responsibilities~~ in the ~~discipline field~~

346 Clinical Associate Professor

- 347 • has qualifications of the previous title
- 348 • has extensive successful experience in clinical or professional practice
- 349 in an ~~area field~~ of specializations, or in a subdivision of the ~~specialty~~
- 350 ~~area field~~, and in working with and/or directing others (such as
- 351 professionals, faculty members, graduate students, etc.) in clinical
- 352 activities in the field

353 ~~• has demonstrated superior teaching ability~~

354 Clinical Professor

- 355 • has qualifications of the previous title
- 356 • has established an outstanding reputation of excellence in clinical
- 357 practice and teaching and/or other instructional responsibilities
- 358 ~~• has demonstrated a degree of sustained excellence in clinical practice~~
- 359 ~~and teaching sufficient to establish an outstanding reputation among~~
- 360 ~~colleagues~~

361 d. Additional faculty titles

362

363  
364 Adjunct Instructor; Adjunct Assistant Professor; Adjunct Associate  
365 Professor; Adjunct Professor: These titles are used to appoint outstanding  
366 persons who have a primary employment responsibility outside the  
367 university or in a different department in the university and who bring  
368 some specific professional expertise to the academic program. These  
369 positions are typically unfunded.

370  
371 Affiliate Instructor; Affiliate Assistant Professor; Affiliate Associate  
372 Professor; Affiliate Professor: These titles are used in the School of  
373 Medicine to appoint outstanding persons who have a primary employment  
374 responsibility outside the university and who bring some specific  
375 professional expertise to the academic program. These positions are  
376 typically unfunded.

377  
378 Artist-in-Residence; Writer-in-Residence: These titles ~~may be~~ are used to  
379 designate temporary appointments, at any salary and experience level, of  
380 persons who are serving for a limited time or part-time and who are not  
381 intended to be considered for professorial appointment.

382  
383 Visiting Instructor; Visiting Assistant Professor; Visiting Associate  
384 Professor; Visiting Professor. The prefix “visiting” before an academic title  
385 is used to designate a short-term full-time or part-time appointment without  
386 tenure. Therefore, the visiting title shall not be used for periods of time  
387 beyond the initial contract period. It shall be used only for those fixed-term  
388 faculty members who are visitors, temporary replacements, or for whose  
389 disciplines the institution in good faith expects to have only a short-term  
390 need. Use of the visiting title for an individual for more than 3 years is a  
391 misuse of this title.

#### 392 393 4. Emeritus status

394 All unit codes must specify criteria for conferring of “emeritus” or “emerita”  
395 status. Based on those criteria and the recommendations of ~~by~~ the unit  
396 personnel committee and appropriate administrators, the Chancellor may  
397 confer the title “emeritus” or “emerita” upon a retired (including Phased  
398 Retirement participant), permanently disabled, or deceased faculty member,  
399 who has made a significant contribution to the university through a long and  
400 distinguished record of scholarship, teaching, and/or service (FS Resolution  
401 #13-97, December 2013).

#### 402 403 E. Initial Appointment

404 [For additional provisions related to initial faculty appointments, see *ECU Faculty*  
405 *Manual*,  
406 Part IX, Section I (II).]  
407

408 Appointment to the faculty is made by the Chancellor or the Chancellor's his/her  
409 designee. Upon receiving recommendations by appropriate unit committees and  
410 administrators, the Chancellor or his/her designee shall issue an appointment  
411 letter ~~a contract for initial appointment~~ to the faculty candidate. ~~that becomes~~  
412 ~~binding upon being executed by the faculty appointee.~~ No offer is binding and no  
413 appointment is effective until signed by the Chancellor or the Chancellor's  
414 designee and subsequently signed by the faculty appointee.

415  
416 The ~~contract~~ appointment letter shall specify, at minimum: rank or title; salary  
417 rate; length of appointment, tenure status [either fixed-term, probationary-term, or  
418 appointment with permanent tenure, as defined in the *Faculty Manual*, Part IX];  
419 initial assignments and/or responsibilities; ~~and~~ reference to the criteria for  
420 evaluation of faculty performance, as provided in Part IX, unit codes, and other  
421 appropriate documents; and any specific terms and conditions of employment.

422  
423 Any action conferring permanent tenure with the initial faculty appointment  
424 requires approval of the Board of Trustees.

## 425 426 II. Assignments of Faculty Workload

427 Faculty workload is governed by the [Faculty Workload Administrative](#) Regulation.

428  
429 By the end of the spring semester for 9-month faculty, and by the end of the  
430 summer session for 12-month faculty, and prior to making final faculty workload  
431 assignments and after soliciting faculty preferences, the unit administrator shall  
432 apprise each unit faculty member, in writing, of the duties and responsibilities for  
433 the coming academic year.

### 434 A. ~~Assignment of~~ Teaching Responsibilities

435 The unit administrator assigns teaching responsibilities and determines  
436 the method of delivery. If changes in a faculty member's assignment  
437 subsequently become necessary, the faculty member shall be notified at  
438 the earliest possible opportunity, ~~when possible, at least two weeks prior~~  
439 ~~to the beginning of each semester of such changes prior to the effective~~  
440 ~~date of the amended assignment.~~

### 441 B. ~~Teaching Load~~

442 The definition of a semester credit hour is governed by [PRR #02.07.01](#).  
443 Full-time faculty members whose primary responsibilities are teaching and  
444 other instructional responsibilities should not be required to teach more  
445 than the equivalent of 12 credit hours per semester or 6 credit hours per  
446 summer session, as consistent with the discipline norms, with the  
447 exception of faculty members who voluntarily teach directed readings and  
448 similar courses. If exceptional circumstances require that a faculty  
449 member be assigned more than the equivalent of 12 credit hours in a  
450 semester, he or she should be appropriately compensated for the excess  
451 teaching load during that term or be given the equivalent reduced teaching  
452 load at a time to be negotiated between the unit administrator and the  
453 faculty member.

454 Consistent with Part VI, Section I.II. Faculty members teaching one or  
455 more courses must maintain five hours of office hours during the  
456 workweek. Faculty members are also expected to be on campus an  
457 appropriate number of hours consistent with assigned instructional duties  
458 and disciplinary norms.

459 B. Scholarly Responsibilities

460 A faculty member's scholarship shall reflect the high professional  
461 standards incumbent upon those who enjoy full academic freedom; such  
462 activities must be measured by standards of quality, not merely by  
463 quantity, as appropriate to the discipline. Faculty members shall fulfill their  
464 scholarly responsibilities as outlined in the unit code and consistent with  
465 overall assigned duties.

466 C. Service Responsibilities

467 Each faculty member will be assigned and/or will assume responsibilities  
468 to serve diverse service roles in the department or program, the college,  
469 the university, the profession and/or the community in consultation with  
470 their unit administrator. ~~Faculty members are expected to serve diverse  
471 service roles, as specified by the administrators of the units to which they  
472 belong.~~ These roles may include formal service in committees at various  
473 levels or informal activities, such as mentoring students or junior faculty  
474 members. Consequently, as appropriate in each unit, faculty members are  
475 expected to actively participate in the life of their unit, be physically  
476 present on campus to the extent necessary to discharge their particular  
477 service duties, and to carry their fair load of assigned and assumed duties  
478 necessary for the effective and equitable operation of the unit.

479 ~~D. Assignment of Released Time~~

481 Faculty reassigned time is ~~Assignments of released time are~~ governed by  
482 Faculty Scholarly Reassignment Administrative Regulation. Faculty  
483 members who are to be granted ~~released~~ reassigned time shall be  
484 informed in writing of the purpose of the ~~reduced assignment~~  
485 reassignment.

486 **(FS Resolution #14-04, March 2014)**

487  
488 III. Annual Evaluation

489 Each faculty member with either a fixed term, probationary term, or permanently  
490 tenured appointment shall perform his/her duties according to the ECU's Statement  
491 on Professional Ethics and shall receive annually an evaluation of his/her  
492 performance from the unit administrator which shall be based upon current  
493 academic year data. The annual performance evaluation of faculty members shall  
494 employ the criteria contained in the unit code approved by the chancellor.

495  
496 The process for determining the relative weight given to teaching, scholarship,  
497 service, and where appropriate, clinical duties, for purposes of annual evaluations  
498 shall be contained in the unit code. In no case, however, shall service be weighed  
499 more heavily than either teaching or scholarship.

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This annual evaluation shall:

- be in writing;
- be discussed with the faculty member prior to being sent to any other administrator or placed in the faculty member's personnel file; in the case of faculty members with probationary term appointments, a record of this discussion shall be placed in the faculty member's personnel file;
- be signed and dated by the unit administrator and the faculty member, who may attach to the evaluation a concise comment regarding the evaluation. The faculty member has ~~4 calendar~~ **seven working** days after receiving the evaluation to attach the statement. The signature of the faculty member signifies that **he or she the faculty member** has read **the evaluation**, but **it** does not necessarily **indicate concurrence**. ~~concur in, the evaluation.~~

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

#### **A. Probationary-term and permanently tenured faculty**

The evaluation of probationary-term and permanently-tenured faculty **members** shall be based upon that year's duties and responsibilities (except data from the previous year's ~~S~~spring semester survey of student opinion). ~~and~~ **Such evaluations** shall consider, **as appropriate**:

##### **1. Teaching and Other Instructional Responsibilities**

Teaching is the primary function of the university. Teaching may include classroom and laboratory instruction, student advising, mentoring student research, and other ~~instructional pedagogical~~ activities. Teaching ~~and other instructional responsibilities~~ must be evaluated using multiple methods selected from the list below:

- a. review by the unit administrator and/or peers of course materials such as syllabi, reading lists, teaching outlines, audiovisual materials, student manuals, student assignments and examinations, and/or other materials prepared for or relevant to teaching.
- b. samples of student work on assignments, projects, papers, juries, or other examples of student achievement.
- c. formal methods of peer review, including direct observation of teaching utilizing the appropriate university approved format (including direct observation of the teaching of new and tenure-track faculty). Methods to be used for this peer review are detailed in Faculty Senate resolution #93-44. The peer review instrument is provided in Faculty Senate resolution #~~16-60~~. The peer review instrument for on-line courses is provided in Faculty Senate resolution #11-53.
- d. direct observation of teaching by the unit administrator.
- e. review of **student opinion data from course evaluations**. ~~from the Student Perception of Teaching Survey (SPOTS). The data from SPOTS is qualitative~~

546 ~~data and is not designed to serve the purpose of a measurement instrument.~~  
547 ~~Therefore, SPOTS data may not be converted into a numerical score to be~~  
548 ~~used in faculty evaluation.~~

549 f. other procedures provided for in unit codes (FS Resolution #12-76, July 2012).

550

551 ~~The relative weight given to teaching, scholarship, and service in personnel~~  
552 ~~decisions shall be determined by each unit code. In no case, however, shall~~  
553 ~~service be weighed more heavily than either teaching or scholarship.~~

554

## 555 2. Scholarship

556 Measures of success in the area of scholarship include, but are not limited to, peer-  
557 reviewed publications, books, presentations, performances, patents, and national  
558 awards, including both honorary awards and competitively awarded external funding  
559 as appropriate to the discipline. These measures, and particularly national awards  
560 that recognize prominence in the discipline, will be positively reflected in annual  
561 evaluations and other personnel actions. Unit codes should define these criteria, and  
562 relative importance, in detail.

563

## 564 3. Clinical Service

565 Unit codes will describe expectations for clinical services and criteria for evaluation.

566

567 4. Services ~~rendered~~ on department, school, college, and university committees,  
568 councils, and  
569 senates; service to professional organizations; service to local, state and national  
570 governments;  
571 contributions to the development of public forums, institutes, continuing education  
572 projects,  
573 patient services and consulting in the private and public sectors; **unit codes should**  
574 **define these criteria, and relative importance, in detail.**

575

576 5. Other **assigned** responsibilities ~~as may be appropriate~~.

577

## 578 B. Fixed-term faculty members

579 The evaluation of fixed-term faculty members shall be based on their performance of  
580 duties as stated in their ~~contracts~~. **appointment letters, utilizing the criteria stated in**  
581 **the unit code.**

582

## 583 IV. Reappointment of Probationary-Term Faculty Members

584 Refer to Part IX of the *ECU Faculty Manual*.

585

## 586 V. Subsequent ~~new~~ appointments of Fixed-Term Faculty Members

587 **Refer to Part IX of the *Faculty Manual*.**

588 ~~Faculty positions that are occupied by faculty members holding fixed-term contracts~~  
589 ~~shall periodically be evaluated to determine if it is feasible to convert the position to~~  
590 ~~one that is tenure-eligible. When it is recommended that a position that is occupied~~  
591 ~~by a fixed-term faculty member be made tenure-eligible, the personnel committee~~

592 ~~and unit administrator shall determine collaboratively the appropriate kind of search~~  
593 ~~recommended (search waiver, internal search, or external search), with the final~~  
594 ~~approval authority for the type of search (i.e. local, regional, national) governed by~~  
595 ~~University EEO policies.~~

596  
597 ~~The repeated re-employment in full-time, fixed-term positions of faculty members~~  
598 ~~whose qualifications are equivalent to those who are probationary term faculty~~  
599 ~~members in the unit is justifiable when special conditions apply such as: (a) the~~  
600 ~~position is not permanently assigned to the unit, (b) the position is addressing~~  
601 ~~temporary needs, (c) the position cannot be filled by a faculty member with a~~  
602 ~~terminal degree, (d) the duties of the position are primarily clinical, (e) the position is~~  
603 ~~by its nature term-limited (term-limited endowed professorships, for example), (f)~~  
604 ~~reflects the preference of the faculty member taking the position. Qualified full-time,~~  
605 ~~fixed-term faculty members should be encouraged to apply for tenure-eligible~~  
606 ~~positions, or (g) budgetary considerations.~~

607  
608 ~~Repeated re-employment of part-time fixed-term faculty members should be subject~~  
609 ~~to the same conditions listed in a-f in the above paragraph. The continuous re-~~  
610 ~~employment of faculty in part-time or temporary positions should be avoided, unless~~  
611 ~~mutually beneficial for the candidate and the unit.~~

## 612 613 614 VI. Professional Advancement

615 ~~Promotion for tenured and probationary-term faculty members and A~~ **advancement** ~~in~~  
616 ~~title for fixed-term faculty members and promotion for tenured and probationary term~~  
617 ~~faculty members~~ are means through which professional achievement is encouraged,  
618 recognized, and rewarded by the university. The evaluation of faculty **members** for  
619 purposes of promotion or advancement in title shall accord with the regulations  
620 established in ~~accordance with~~ the unit code and shall employ the criteria contained  
621 in the unit code approved by the **Chancellor** (*ECU Faculty Manual*, Part IV).

622  
623 As a minimum, each unit shall:

- 624 • apply published criteria in teaching, scholarship, ~~and~~ **service, and clinical service**  
625 **where relevant tot the discipline** for evaluating faculty for promotion or  
626 advancement in title;
- 627 • make available procedures which will permit each faculty member to report  
628 achievements annually or on a more frequent basis; ~~and~~
- 629 • **inform assure** each faculty member **of** the right to discuss ~~one's~~ **his or her**  
630 candidacy with the unit administrator and/or the appropriate unit committee at any  
631 time **prior to the deadline for submission of materials.;** ~~and~~
- 632 • ~~notify each faculty member within four days of receipt of the administration's call~~  
633 ~~for promotion or advancement in title recommendations.~~

### 634 635 A. Promotion for tenured and probationary-term faculty members

636

637 Upon request by a tenured faculty member, the unit administrator and the unit  
638 promotion committee shall evaluate the faculty member for promotion. ~~Upon~~  
639 ~~request by a fixed-term faculty member, the unit administrator and the personnel~~  
640 ~~committee shall evaluate the faculty member for advancement in title.~~ Following  
641 such evaluations, the unit administrator and appropriate unit committee shall  
642 inform the faculty member of their respective recommendations. Promotion ~~or~~  
643 ~~advancement in title~~ shall be based primarily upon the faculty member's total  
644 demonstrated professional competence and achievements. Procedures to be  
645 followed for promotion are found in *ECU Faculty Manual*, Part IX and Part X.  
646 ~~Procedures to be followed for advancement in title should be specified in each~~  
647 ~~the unit code unit in accordance with *ECU Faculty Manual*, Part IX, Section I~~  
648 ~~(II.B.3), (III.) and (IV.); and Part VIII, Section I (I.D.3).~~

649 ~~Among the many qualifications that which may be considered when making~~  
651 ~~recommendations for promotion, the requirements in **Part IX, Section I (I.D.2)**~~  
652 ~~above are essential.~~

653  
654 Promotion in academic rank should be accompanied by a salary increment,  
655 which shall be separate from any and all other increments to which the individual  
656 may be entitled.

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

662  
663 ~~Advancement in title for fixed-term faculty members should be accompanied by a~~  
664 ~~salary increment, which shall be separate from any and all other increments to which~~  
665 ~~the individual may be entitled. Notwithstanding any previous statement that has~~  
666 ~~appeared herein, competence for advancement in title may be attested to by~~  
667 ~~demonstrated excellence in the performance of duties specified in the contract of the~~  
668 ~~fixed-term faculty member and supported by the faculty member's annual~~  
669 ~~performance evaluation.~~

## 670 B. Advancement in title for fixed-term faculty members

671  
672  
673 The unit code shall specify the criteria and the means of evaluation of fixed-term  
674 faculty members to be used for a subsequent new appointment at a higher title.  
675 Advancement in title shall be based upon the faculty member's demonstrated  
676 professional competence and achievements, and should be accompanied by a  
677 salary increment, which shall be separate from any and all other increments to  
678 which the individual may be entitled. ~~Notwithstanding any previous statement that~~  
679 ~~has appeared herein, cCompetence for advancement in title may be attested to~~  
680 ~~by demonstrated excellence in the performance of duties specified in the contract~~  
681 ~~of the fixed-term faculty member and supported by the faculty member's annual~~  
682 ~~performance evaluation.~~

~~Evaluations pertaining to fixed-term subsequent new appointment at a higher title, the criteria shall be stated in the unit code. Specific regulations and criteria governing evaluation of faculty members for purposes of promotion or advancement in title shall be specified in the unit code.~~

The unit administrator shall notify eligible faculty members within four working days of receipt of the next higher administrator's call for advancement in title recommendations. Upon request by a fixed-term faculty member, the unit administrator and the personnel committee shall evaluate the faculty member for advancement in title. Following such evaluations, the unit administrator and appropriate unit committee shall inform the faculty member of their respective recommendations. Procedures to be followed for advancement in title should be specified in the unit code in accordance with *ECU Faculty Manual*, Part IX, Section I (II.B.3), (III.) and (IV.); and Part VIII, Section I (I.D.3).

## VII. Salary

### A. Initial Salary

Initial salary shall be based on degree attainment, academic rank, pertinent ~~experience~~, professional ~~experience and qualifications activity~~, scholarly publication or its equivalent, and level of responsibility. Consideration ~~being~~ should be given to the salaries of personnel presently in the unit and ~~must be consistent with University-established faculty salary ranges. salaries within the discipline in comparable institutions.~~

### B. Determination of Annual Salary Increments

The unit administrator shall recommend annual salary increments to the appropriate administrative officials in accordance with requirements imposed by the North Carolina General Assembly, The University of North Carolina Board of Governors, the ECU Board of Trustees, and the university administration. ~~Recommended salary adjustments~~, and shall employ ~~any additional~~ criteria that have been established in the *Faculty Manual* ~~this appendix~~, in units codes, or in ~~guidelines referenced in policies required by~~ unit codes. ~~Basic c~~Criteria for assessing merit are contained in unit codes. ~~shall include the degree of teaching excellence; scholarship to local, state, and national governments; as well as contributions to the development of public forums, institutes, continuing education projects, and patients' services.~~ The unit administrator shall also inform ~~report annually to~~ the unit, in dollar amounts and percentages, the total ~~adjustment increment allotted~~, mean salary increment, and range in salary increments for the unit. Each faculty member shall be informed by the unit administrator of any salary increment recommendations made on behalf of the faculty member ~~by the unit administrator.~~

### C. Benefits and Salary Increases for Fixed-Term Faculty

Equitability of salary and benefits for fixed-term faculty members should be reviewed annually. When salary increments are provided by the Board of Governors, full-time fixed-term faculty ~~members~~ who have completed one year of employment and have received a subsequent new appointment should be considered for a salary increase based upon their annual evaluation and criteria

729 established by the Board of Governors, ECU Board of Trustees, and the unit  
730 code.

731 ~~Full-time, fixed-term faculty members are entitled to the same benefits as all  
732 other full-time employees of ECU.~~

733  
734  
735 VIII. Faculty Personnel Files

736 A. Article 7 of Chapter 126 of the General Statutes of North Carolina shall govern  
737 matters relating to personnel files, contents, and permissible access. ~~The Current~~  
738 ~~General Statutes may be requested through the Office of University Counsel~~  
739 ~~(University Attorney) or through references in are located in Joyner Library. and~~  
740 ~~in the University Attorney's Office. Access to the statutes on the Internet are~~  
741 ~~available at:~~

742 ~~[http://www.ncga.state.nc.us/EnactedLegislation/Statutes/PDF/ByArticle/Chapter-](http://www.ncga.state.nc.us/EnactedLegislation/Statutes/PDF/ByArticle/Chapter-126/Article-7.pdf)~~  
743 ~~[126/Article-7.pdf](http://www.ncga.state.nc.us/EnactedLegislation/Statutes/PDF/ByArticle/Chapter-126/Article-7.pdf)~~

744  
745 ~~Please note that the statutes reported on the internet may not be accurate and~~  
746 ~~may not be updated in a timely manner to reflect the latest supplements.~~

747  
748 For questions regarding personnel files, contact the Faculty Senate Office, the  
749 appropriate Division Vice Chancellor, or the University Attorney's Office.

750  
751 B. Definition

752 "Personnel File" means any employment-related or personal information  
753 gathered by an employer or by the Office of State Human Resources.  
754 Employment-related information contained in a personnel file includes  
755 information related to an individual's application, selection, promotion, demotion,  
756 transfer, leave, salary, contract for employment, benefits, suspension,  
757 performance evaluation, disciplinary actions, and termination. Personal  
758 information contained in a personnel file includes an individual's home address,  
759 social security number, medical history, personal financial data, marital status,  
760 dependents, and beneficiaries. "Record" means the personnel information that  
761 each employer is required to maintain in accordance with G.S. 126-123.

762  
763 ~~North Carolina law defines a personnel file as any information gathered by East~~  
764 ~~Carolina University that relates to an individual's employment, which includes~~  
765 ~~information relating to the application, selection, promotion, demotion, transfer,~~  
766 ~~leave, salary, suspension, performance evaluation, disciplinary action, or~~  
767 ~~termination of employment, wherever located and in whatever form. Records~~  
768 ~~related to grievances and appeals of non-reappointment and non-conferral of~~  
769 ~~tenure are personnel records. The Personnel Action Dossier ("PAD") is an~~  
770 ~~evaluative document, is a personnel record, and is part of the faculty member's~~  
771 ~~personnel file. The personnel file is University property and is retained by the~~  
772 ~~University.~~

774 The Personnel Action Dossier (PAD), defined in the ECU Faculty Manual Part X,  
775 Section I, is an evaluative document, is a personnel record, and is part of the  
776 faculty member's personnel file. The personnel file is University property and is  
777 retained by the University.

778  
779 Personnel records are kept in accordance with the Records Retention and  
780 Disposition Schedule approved by the Chancellor. Timing of storage and transfer  
781 vary depending on the specific type of document. (see [http://www.ecu.edu/cs-  
782 lib/recordsmanagement/ecugeneralschedule.cfm](http://www.ecu.edu/cs-lib/recordsmanagement/ecugeneralschedule.cfm) for reference)

#### 784 C. Location

785 All records used in the formal evaluation of faculty must be in the **primary**  
786 personnel file. ~~A faculty member's primary personnel file shall reside in the code  
787 unit office under the supervision of the code unit administrator. In addition, there  
788 may be other files containing personnel records that are located in approved  
789 University offices. The location and custodian of other files containing personnel  
790 records will be listed in the Personnel File Checklist attached to the inside cover  
791 of the primary personnel file.~~ The unit administrator can inform the faculty  
792 member of the location of evaluative material.

793  
794 Filed grievances; appeals of non-reappointment or non-conferral of tenure;  
795 complaints filed by or against a faculty member with the ECU EEO Office alleging  
796 sexual harassment, discrimination based on **race/ethnicity, color, genetic  
797 information, national origin, religion, sex (including pregnancy and pregnancy  
798 related conditions), sexual orientation, gender identity, age, disability, political  
799 affiliation, and veteran status ("Protected Class")** ~~age, race, religion, or disability,~~  
800 or a violation of the amorous relations policy; and records relating to any  
801 disciplinary action against a faculty member may be included in an appeal  
802 hearing file or in an investigative file prepared by the EEO Office or by the **Office  
803 of University Counsel** ~~University Attorney's Office.~~

804  
805 Personnel records retained in the EEO Office or the University Attorney's Office  
806 will remain confidential, but the documents collected and/or created in those  
807 offices are considered part of an investigative/preparation file and are not  
808 considered part of the **primary** personnel file. Disclosure of documents in those  
809 files is subject to applicable University policies and state laws. Additionally, in  
810 accordance with the relevant University policy and state laws, the University will  
811 formally notify the faculty member of any complaint or grievance filed against a  
812 faculty member and will follow the procedures prescribed for due process. In  
813 most cases, personnel documents maintained in those files will be duplicates of  
814 documents in the primary personnel file. In all cases, the documents in those files  
815 will be available for review by the faculty member.

#### 817 D. Content

818 State law requires that the University permit the public to have access to the  
819 following employment related information about the following factors:

- 820 • name;
- 821 • age;
- 822 • date of original employment or appointment to state service;
- 823 • the terms of any contract by which the employee is employed whether
- 824 written or oral;
- 825 • past and current, to the extent that the university has the written contract
- 826 or a record of the oral contract in its possession;
- 827 • current position;
- 828 • title;
- 829 • current salary, date and amount of each increase or decrease in salary,
- 830 with the university;
- 831 • date and type of each promotion, demotion, transfer, suspension,
- 832 separation, or other change in position classification with the university;
- 833 • date and general description of the reasons for each promotion with the
- 834 university;
- 835 • date and type of each dismissal, suspension, or demotion for disciplinary
- 836 reasons taken by the university. If the disciplinary action was a dismissal,
- 837 a copy of the written notice of the final decision of the Chancellor setting
- 838 forth the specific acts or omissions that are the basis of the dismissal and
- 839 the office to which the employee is currently assigned.

840  
841 To the extent allowed by applicable law (e.g., [Article 7 of Chapter 126](#) of the  
842 General Statutes of North Carolina), all other information contained in the  
843 personnel file is confidential and shall not be open for inspection and examination  
844 except to the following persons:

- 845  
846 (1) The employee, applicant for employment, former employee, or his or her  
847 properly authorized agent, who may examine his or her own personnel file in  
848 its entirety except for (i) letters of reference solicited prior to employment or  
849 (ii) information concerning a medical disability, mental or physical, that a  
850 prudent physician would not divulge to a patient. An employee's medical  
851 record may be disclosed to a licensed physician designated in writing by the  
852 employee;
- 853 (2) The supervisor of the employee;
- 854 (3) Members of the General Assembly who may inspect and examine personnel  
855 records under the authority of G.S. 120-19;
- 856 (4) A party by authority of a proper court order may inspect and examine a  
857 particular confidential portion of a State employee's personnel file; and
- 858 (5) An official of an agency of the federal government, state government, or any  
859 political subdivision thereof. Such an official may inspect any personnel  
860 records when such inspection is deemed by the department head of the  
861 employee whose record is to be inspected or, in the case of an applicant for  
862 employment or a former employee, by the department head of the agency in  
863 which the record is maintained as necessary and essential to the pursuance  
864 of a proper function of said agency; provided, however, that such information

865 shall not be divulged for purposes of assisting in a criminal prosecution, nor  
866 for purposes of assisting in a tax investigation; and  
867 (6) Any person or corporation to which the Chancellor determines release of such  
868 information is essential as allowed by [General Statute §126-24](#).

869 All evaluative documents will be contained in the ~~primary~~ personnel file.  
870 Evaluative materials or summaries thereof prepared by peer committees as part  
871 of a regular evaluation system are placed in the ~~primary~~ personnel file when  
872 signed by a representative of the committee. In particular, official copies of  
873 Personnel Action Dossiers, as outlined in Part X of the ECU Faculty Manual,  
874 including documentation submitted by faculty ~~members~~ for consideration in the  
875 tenure, reappointment, and promotion processes, shall reside in the ~~primary~~  
876 personnel file.

877  
878 No material obtained from an anonymous source shall be placed in the ~~primary~~  
879 personnel file except for data from student opinion surveys. Data from student  
880 opinion surveys shall be submitted by the authorized surveying agent to the  
881 faculty member and the unit administrator. Administrators shall not keep secret  
882 files.  
883

884 A faculty member who objects to material in the ~~primary~~ personnel file or other  
885 personnel records may place in the file a statement relating to the material the  
886 faculty member considers to be inaccurate or misleading. This concise statement  
887 shall be submitted to the custodian for inclusion as an attachment to the specific  
888 document. A faculty member who objects to material in the ~~primary~~ personnel file  
889 because it is inaccurate or misleading may seek the removal of such material  
890 from the ~~primary~~ personnel file in accordance with Part XII, Section I of the  
891 Faculty Manual, including appeal to the State ~~Personnel~~ Human Resources  
892 Commission.

#### 893 E. Access

894 The unit administrator is responsible for providing faculty members access to  
895 their personnel file during regular business hours with advance notice to the unit  
896 administrator. Advance notice of at least 4 calendar days is required so that ~~all~~  
897 ~~materials the file~~ can be gathered from other offices, if necessary, and so that  
898 confidential documents, as specified in D.1 (above), can be removed. The unit  
899 administrator must make arrangements to have office staff available to oversee  
900 the review process to ensure the integrity and safekeeping of the records and to  
901 assist in making copies of the file, if applicable.

902 Faculty members are encouraged to examine their ~~primary~~ personnel file often,  
903 subject to certain restrictions of state law. Faculty members may examine other  
904 files containing personnel records subject to the same restrictions. A faculty  
905 member may obtain copies of any materials ~~that are not contained in the~~  
906 ~~personnel file unless~~ restricted by state law ~~in the personnel~~.

907 F. Disclosure of Confidential Information

908 Willful disclosure of confidential information or unauthorized access to a  
909 personnel file by any person violates state law and university regulations and  
910 may result in disciplinary action under university regulations. Any person who  
911 knows of these violations but does not act **to address them** has neglected his or  
912 her duties, and may also be disciplined in accordance with university regulations.

913 IX. Amendment Procedure

914 Amendment procedures are subject to the University's Regulation on Policies,  
915 Rules, and Regulations. The Faculty Senate will consider amendments to *ECU*  
916 *Faculty Manual*, Part VIII, Section I - Personnel Policies and Procedures that are  
917 proposed by any full-time member of the faculty, by any faculty committee, or by any  
918 member of the administration of East Carolina University. Amendment(s) submitted  
919 to the Faculty Senate for consideration shall be handled as any other item of  
920 legislation **which that** comes before the Senate. If the Senate approves such a  
921 proposed amendment, the Senate shall submit the proposed amendment to the  
922 chancellor and, if approved by the **Chancellor**, the amendment will be forwarded to  
923 the **Board of Trustees** for its approval. Consideration by the Board of Trustees is not  
924 required if the **Chancellor** has final authority to enact the amendment.

925  
926 X. Effective Date

927 All provisions of these policies and procedures shall become effective on the date  
928 they are approved by the East Carolina University Board of Trustees or its designee.

929  
930 ~~XI. Faculty Personnel File Checklists~~

931  
932 ~~FACULTY PERSONNEL FILE CHECKLIST~~

933 ~~(Division of Academic Affairs)~~

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

945  
946 ~~Please note that you cannot add to or remove documents from your personnel files at~~  
947 ~~the time you review your files. If you have concerns about documents in your files,~~  
948 ~~please bring them to the attention of the custodian of records. You can object to~~  
949 ~~inaccurate or misleading information in your files by putting your objections in a written~~  
950 ~~statement to your Code Unit Administrator, who will add your statement to the file(s) you~~  
951 ~~are concerned about.~~

952  
953 ~~Removal of offensive materials may be sought in accordance with the procedures in~~  
954 ~~Part XII,~~  
955 ~~Section I of the *ECU Faculty Manual*.~~

956  
957 ~~Location of Records Related to Employment:~~  
958 ~~\_\_\_\_\_ Code Unit Administrator's Office~~  
959 ~~\_\_\_\_\_ Dean's Office~~  
960 ~~\_\_\_\_\_ Academic Department Chair's Office in Professional Schools~~  
961 ~~\_\_\_\_\_ Vice Chancellor for Academic and Student Affairs Office~~  
962 ~~\_\_\_\_\_ Department of Human Resources~~

963  
964 ~~Other Files Containing Personnel Records May be Located:~~  
965 ~~\_\_\_\_\_ Equal Employment Opportunity/Affirmative Action Office~~  
966 ~~\_\_\_\_\_ University Attorney's Office~~  
967 ~~\_\_\_\_\_ Faculty Senate Office~~

968  
969 ~~Please note that reference letters solicited prior to employment and medical records that~~  
970 ~~a prudent physician would not disclose to his/her patient shall not be disclosed to you~~  
971 ~~and should be kept in a~~  
972 ~~sealed envelope that can be easily removed from your file. Additionally, medical records~~  
973 ~~related to a medical condition or disability should be maintained in a separate envelope.~~  
974 ~~Questions about your personnel records should be directed to the Faculty Senate Office~~  
975 ~~or the University Attorney's Office.~~

976  
977 **FACULTY PERSONNEL FILE CHECKLIST**

978 (Division of Health Sciences)

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

990  
991 ~~Please note that you cannot add to or remove documents from your personnel files at~~  
992 ~~the time you review your files. If you have concerns about documents in your files,~~  
993 ~~please bring them to the attention of the custodian of records. You can object to~~  
994 ~~inaccurate or misleading information in your files by putting your objections in a written~~  
995 ~~statement to your Code Unit Administrator, who will add your statement to the file(s)~~

996 ~~which concern(s) you. Removal of inaccurate or misleading materials may be sought in~~  
997 ~~accordance with the procedures in Part XII, Section I of the *ECU Faculty Manual*.~~

998  
999 ~~Location of Records Related to Employment:~~

- 1000 ~~\_\_\_\_\_ Code Unit Administrator's Office~~
- 1001 ~~\_\_\_\_\_ Dean's Office~~
- 1002 ~~\_\_\_\_\_ Academic Department Chair's Office~~
- 1003 ~~\_\_\_\_\_ Center Administrator's Office (ex. Center for Advancement of Health)~~
- 1004 ~~\_\_\_\_\_ Department Section Head's Office~~
- 1005 ~~\_\_\_\_\_ Vice Chancellor for Health Sciences Office~~
- 1006 ~~\_\_\_\_\_ Department of Human Resources~~

1007  
1008 ~~Other Files Containing Personnel Records May be Located:~~

- 1009 ~~\_\_\_\_\_ Equal Employment Opportunity/Affirmative Action Office~~
- 1010 ~~\_\_\_\_\_ University Attorney's Office~~
- 1011 ~~\_\_\_\_\_ Faculty Senate Office~~

1012  
1013 ~~Additional Records for Physician Faculty - located at Brody SOM and Vidant Pitt County~~  
1014 ~~Memorial Hospital:~~

- 1015 ~~\_\_\_\_\_ Medical Faculty Practice Plan Benefits Office~~
- 1016 ~~\_\_\_\_\_ Managed Care Office~~
- 1017 ~~\_\_\_\_\_ ECU Physicians Credentialing Office~~
- 1018 ~~\_\_\_\_\_ PCMH Credentials Verification Office (Medical Staff Support)~~

1019  
1020 ~~This notifies you that certain the Division of Health Sciences or other ECU offices~~  
1021 ~~(including, but not limited to, University Attorney, Equal Employment Opportunity,~~  
1022 ~~Compliance, BSOM Risk Management, CME, etc.) may maintain records (including, but~~  
1023 ~~not limited to, attendance records for mandatory training sessions, orientation, and CME~~  
1024 ~~programs; routine audits of medical records and billing documentation; Quality~~  
1025 ~~Assurance; malpractice; etc.) related to your employment and which may constitute~~  
1026 ~~personnel records. Should you wish to verify whether such offices maintain records~~  
1027 ~~related to your employment, you may contact the specific office for further information~~  
1028 ~~regarding your records within the Office of the Vice Chancellor for Health Sciences.~~  
1029 ~~Please note that reference letters solicited prior to employment and medical records that~~  
1030 ~~a prudent physician would not disclose to his/her patient shall not be disclosed to you~~  
1031 ~~and should be kept in a sealed envelope that can be easily removed from your file.~~  
1032 ~~Additionally, medical records governed by General Statute, if any, would be maintained~~  
1033 ~~in a separate envelope. Questions about your personnel records should be directed to~~  
1034 ~~the Faculty Senate Office or to the University Attorney's Office.~~

1035 \_\_\_\_\_  
1036  
1037 (FS Resolution #11-94, November 2011)  
1038 (FS Resolution #12-76, April 2012)  
1039 (FS Resolution #14-04, March 2014)

1040