EAST CAROLINA UNIVERSITY
2009-2010 FACULTY SENATE

The seventh regular meeting of the 2009/2010 Faculty Senate will be held on **Tuesday, March 30, 2010,** at 1:10 pm in the Mendenhall Student Center, Great Room.

Please note change in meeting time.

FULL AGENDA

I. Call to Order

II. Approval of Minutes
February 23, 2010

III. Special Order of the Day

A. Roll Call

B. Announcements

C. Steve Ballard, Chancellor

D. Marilyn Sheerer, Provost and Vice Chancellor for Academic and Student Affairs

E. Marianna Walker, Chair of the Faculty

F. Approval of Spring 2010 Graduation Roster, including honors program graduates, subject to the completion of degree requirements.

G. Marsha Ironsmith, Chair of Honors College Planning Task Force
Update on Proposed Honors College and Business Plan
Task Force Report (June 2009)

H. Question Period

IV. Unfinished Business

V. Report of Committees

A. University Curriculum Committee, Paul Schwager
Curriculum matters contained in the minutes of the February 11, 2010 and February 25, 2010, meeting.

B. Unit Code Screening Committee, Timm Hackett
Proposed revisions to the following Unit Codes of Operation:
1. School of Music
2. Department of Anthropology
3. School of Medicine

C. Committee on Committees, Catherine Rigsby
1. Second reading of proposed revisions to the Academic Awards Committee Charge (attachment 1).
2. Nomination for opening on Faculty Grievance Appellate Committee (attachment 2).

D. Calendar Committee, Shanan Gibson

1. Proposed Summer 2010 – Spring 2011 University Calendars (attachment 3).
2. Results of Calendar Committee Survey.

E. Academic Awards Committee, Sue Steinweg
Proposed Procedures for a University Scholarship of Engagement Award (attachment 4).

F. Academic Standards Committee, Linda Wolfe
1. Approval of Foundation Curriculum Course for Basic Social Science PSYC 2777 Ethnocultural Psychology.
2. Approval of Foundation Curriculum Course for Basic Science GEOL1800 Geology of the National Parks.
3. Proposed revisions to the *ECU Faculty Manual*, Part V. Academic Information Section I. Academic Procedures and Policies, Subsection Y. Disruptive Academic Behavior (attachment 5).

G. Academic Standards and Admission and Retention Policies Committees, Linda Wolfe and Joseph Thomas
1. Proposed revisions to the *ECU Faculty Manual*, Part V. Academic Information Section I. Academic Procedures and Policies, Subsection I.W. Student Attendance Regulations (attachment 6).
2. Proposed revisions to the *University Undergraduate Catalog*, Section 5. Academic Regulations, Class Attendance and Participation Regulations (attachment 7).

H. Admission and Retention Policies Committee, Joseph Thomas
1. Proposed Revisions to the *University Undergraduate Catalog*, Section 5. Academic Regulations, Special Readmission (Forgiveness) Policy (attachment 8).
2. Proposed Revisions to the *University Undergraduate Catalog*, Section 5. Academic Regulations, While Enrolled in East Carolina University (attachment 9).

I. Faculty Governance Committee, Puri Martinez
1. Proposed revisions to the *ECU Faculty Manual*, Part VI. Section I. Employment Policies (attachment 10).
2. Proposed revision to the *ECU Faculty Manual,* Part VI, Section V. External Professional Activities of Faculty and Other Professional Staff (attachment 11).
3. Proposed revision to the *ECU Faculty Manual,* Part VI, Section VII. Frequently Asked Questions About Faculty Personnel Records (attachment 12).
4. Proposed revision to the *ECU Faculty Manual,* Part VIII, Responsibilities of Administrative Officers (attachment 13).
5. Proposed revisions to the *ECU Faculty Manual*, Appendix I. Policy on Conflicts of Interest and Commitment (attachment 14).
6. Suggested revisions for information only to the *ECU Faculty Manual*, Appendix C. Personnel Policies and Procedures for the Faculty.
7. Suggested revisions for information only to the *ECU Faculty Manual*, Appendix D. Tenure and Promotion Policies and Procedures.

J. Faculty Welfare Committee, Katrina DuBose
   1. Proposed revisions to the *ECU Faculty Manual*, Part VI. Section I. Employment Policies (attachment 15).
   2. Proposed revisions to the *ECU Faculty Manual*, Part VI. Section III. Institutional Services Available to Faculty, Subsection R. Tuition Privileges for Faculty (attachment 16).
   3. Proposed revisions to the *ECU Faculty Manual*, Part VI. Section IV. Employment of Related Persons (attachment 17).
   4. Proposed revisions to the *ECU Faculty Manual*, Part VI. Section VI. Equal Employment Opportunity/Affirmative Action Policy (attachment 18).
   5. Proposed revisions to the *ECU Faculty Manual*, Part VI. Section VII. A. Substance Abuse Policy (attachment 19).
   6. Proposed revision to the *ECU Faculty Manual*, Part VI. Section VII. C. Serious Illness and Disability Leave for Faculty Policy (attachment 20).

K. Educational Policies and Planning Committee, Edson Justiniano
   1. Request of Intent to Plan a Master of Arts in Education in Gifted Education, Department of Curriculum and Instruction, College of Education.
   2. Request for an Undergraduate Certificate in Cultural Resource Management, Department of Anthropology.

VI. New Business

Faculty Senate Agenda
March 30, 2010
Attachment 1.

COMMITTEE ON COMMITTEES REPORT

Second Reading of Proposed Revisions to the Academic Awards Committee Charge
(Additions are noted in **bold** print and deletions in ~~strikethrough~~.)

1. Name: Academic Awards Committee

2. Membership: 7 elected faculty members.
Ex-officio members (with vote): The Chancellor or an appointed representative, the Provost or an appointed representative, the Vice Chancellor for Research **and Graduate Studies** ~~, Economic Development and Community Engagement~~ or an appointed representative, the Chair of the Faculty, one faculty senator selected by the Chair of the Faculty, and one student member from the Student Government Association.

The chair of the committee may invite resource persons as necessary to realize the committee charge. The chair of the committee may appoint such subcommittees as he or she deems necessary.

3. Quorum: 4 elected members exclusive of ex-officio.

4. Committee Responsibilities:
A. The committee recommends, when required, policies and procedures governing the granting of awards for meritorious teaching and advising, research, and service.
B. The committee recommends candidates for receipt of awards in the various categories ~~to include,~~ **including,** but not limited to, the Alumni Distinguished Professor for Teaching Awards**,** ~~and~~ Research Awards**, and University Scholarship of Engagement Awards.**
C. The Committee reviews at least annually those sections within the *University Undergraduate Catalog* that corresponds to the Committee's charge and recommends changes as necessary.

5. To Whom The Committee Reports:
The committee recommends to the Faculty Senate policies and procedures governing awards in the various categories. The committee recommends candidates for awards to the appropriate issuing body.

6. How Often The Committee Reports:
The committee reports to the Faculty Senate at least once a year and at other times as necessary.

7. Power Of The Committee To Act Without Faculty Senate Approval:
The committee is empowered to recommend candidates for awards.

8. Standard Meeting Time:
The committee meeting time is scheduled for the first Thursday of each month.

Faculty Senate Agenda
March 30, 2010
Attachment 2.

COMMITTEE ON COMMITTEES REPORT

Nomination for opening on Faculty Grievance Appellate Committee

Nominee for 2011 unexpired term

2009/2010 FACULTY GRIEVANCE COMMITTEE

Regular Members (with vote)	Academic Unit	Term	Office Location	Mail #	Office #
Matthew Mahar	Health & Human Perf.	2010	Minges 101	559	328-0008
open		2010			
open		2011			
Michelle Eble	English	2011	Bate 2142	555	328-6003
Jan Mayo	Academic Library Svcs	2011	Joyner 1200	516	328-0293
Kathleen Cox	Allied Health Sciences	2012	3310 LAHN	161	744-6085
Cheryl Stevens	Health & Human Perf.	2012	Belk Annex 10	559	328-4638
Todd Fraley	Communication	2012	Joyner East 106B	524	328-4227
Alternate Members(with vote)					
Glenn Harris	Medicine	2010	Brody 3E133	632	744-2516
Kathy Cable	Health Sciences Library	2011	Laupus Library	612	744-3222

Faculty Senate Agenda
March 30, 2010
Attachment 3.

CALENDAR COMMITTEE REPORT

Proposed 2011/2012 University Calendar

SUMMER SESSION 2011
FIRST TERM

(Actual days First Term: 4 Mondays, 6 Tuesdays, 5 Wednesdays, 5 Thursdays, 5 Fridays, 1 day for registration, 1 day for final examinations.)

March 15, Tuesday	Last day to apply for admission to Graduate School for first summer term.
March 26, Saturday	Last day to apply for graduation during the Summer Session
April 15, Friday	Last day to apply as a post baccalaureate teacher licensure student for Summer Sessions
May 1, Sunday	Last day to apply as an undergraduate student for first summer & 11-Week Sessions

May 11, Wednesday	Late Processing Fee assessed for all who have not paid fees by 4:00 pm.
May 12, Thursday	Fees accepted with late processing fee.
May 13 Friday	Schedules canceled for all who have not paid fees by 4:00 pm.
May 16, Monday	New student registration; schedule changes.
May 17, Tuesday	Classes begin; schedule changes.
May 18, Wednesday	Last day for registration and schedule changes (drop and add) for first term by 5:00 pm.
May 19, Thursday	Last day for schedule changes (add only) by 5:00 pm.
May 30, Monday	Memorial Day (no classes).
June 1, Wednesday	Last day to apply as an undergraduate student for second summer Session
June 3, Friday	Last day for undergraduate students to drop term-length courses or withdraw from school without grades by 5:00 pm. Block courses may be dropped only during the first 50% of their regularly scheduled class meetings.
June 15, Wednesday	Last day for graduate students to drop courses without grades by 5:00 pm.
June 21, Tuesday	Classes end. Last day for submission of grade replacement requests.
June 22, Wednesday	Final examinations.
June 24, Friday	Grades due at noon.
July 1, Friday	Last day to apply as a undergraduate readmit student or post baccalaureate teacher licensure student for the Fall term
August 9, Tuesday	Last day to submit appeals to SAAC for readmission for Fall semester

SUMMER SESSION 2011
SECONDTERM

(Actual days Second Term: 4 Mondays, 5 Tuesdays, 5 Wednesdays, 6 Thursdays, 5 Fridays, 1 day for new student registration, 1 day for final examinations.)

March 26, Saturday	Last day to apply for graduation during the Summer Session
April 15, Friday	Last day to apply as a post baccalaureate teacher licensure student for Summer Sessions.
May 1, Sunday	Last day to apply as an undergraduate student for second summer & 11-Week Sessions.
May 2, Monday	Last day to apply for admission to Graduate School for second summer term.
June 1, Wednesday	Last day to apply as an undergraduate student for second summer Session.
June 16, Thursday	Late Processing Fee assessed for all who have not paid fees by 4:00 pm.
June 17, Friday	Fees accepted with late processing fee.
June 20, Monday	Schedules canceled for all who have not paid fees by 4:00 pm.
June 22, Wednesday	New student registration; schedule changes.
June 23, Thursday	Classes begin; schedule changes.
June 24, Friday	Last day for registration and schedule changes (drop and add) for second term by 5:00 pm.
June 27, Monday	Last day for schedule changes (add only) by 5:00 pm.
July 1, Friday	Last day to apply as a undergraduate readmit student or post baccalaureate teacher licensure student for the Fall term
July 4, Monday	State holiday (no classes).
July 12, Tuesday	Last day for undergraduate students to drop term-length courses or withdraw from school without grades by 5:00 pm. Block courses may be dropped only during the first 50% of their regularly scheduled class meetings.

July 18, Monday	Last day to submit thesis to Graduate School for completion of degree in the summer session.
July 22, Friday	Last day for graduate students to drop courses without grades by 5:00 pm.
July 28, Thursday	Classes end. Last day for submission of grade replacement requests.
July 29, Friday	Final examinations.
August 1, Monday	Grades due at noon.
August 9, Tuesday	Last day to submit appeals to SAAC for readmission for Fall semester

SUMMER SESSION 2011
11-WEEK SUMMER SESSION

(Actual class days: 8 Mondays, 11 Tuesdays, 10 Wednesdays, 11 Thursdays, 10 Fridays, 1 day for Final Exams.)

March 15, Tuesday	Last day to apply for admission to Graduate School for summer term
March 26, Saturday	Last day to apply for graduation during the Summer Session
April 15, Friday	Last day to apply as a post baccalaureate teacher licensure student for Summer Sessions
May 1, Sunday	Last day to apply as an undergraduate student for first summer & 11-Week Sessions
May 11, Wednesday	Late Processing Fee assessed for all who have not paid fees by 4:00 pm.
May 12, Thursday	Fees accepted with late processing fee.
May 13 Friday	Schedules canceled for all who have not paid fees by 4:00 pm.
May 16, Monday	Registration and schedule changes.
May 17, Tuesday	Classes begin; schedule changes.
May 18, Wednesday	Last day for registration and schedule changes (drop and add) by 5:00 pm.
May 19, Thursday	Last day for schedule changes (add only) by 5:00 pm.
May 30, Monday	Memorial Day (no classes).
June 1, Wednesday	Last day to apply as an undergraduate student for second summer Session.
June 22, Wednesday	Midsummer Break (no classes).
June 23, Thursday	Last day for undergraduate students to drop term-length courses or withdraw from school without grades by 5:00 pm. Block courses may be dropped only during the first 50% of their regularly scheduled class meetings.
July 1, Friday	Last day to apply as a undergraduate readmit student or post baccalaureate teacher licensure student for the Fall term
July 4, Monday	State Holiday (no classes).
July 18, Monday	Last day to submit thesis to Graduate School for completion of degree in the summer session.
July 22, Friday	Last day for graduate students to drop courses without grades by 5:00 pm.
July 28, Thursday	Classes end. Last day for submission of grade replacement requests.
July 29, Friday	Final examinations.
August 1, Monday	Grades due at noon.
August 9, Tuesday	Last day to submit appeals to SAAC for readmission for Fall semester

FALL SEMESTER 2011

(Actual class days: 13 Mondays, 15 Tuesdays, 14 Wednesdays, 14 Thursdays, 14 Fridays, 13 Saturdays. Effective class days: 14 Mondays, 14 Tuesdays, 14 Wednesdays, 14 Thursdays, 14 Fridays, 13 Saturdays)

March 15, Tuesday	Last day to apply as an undergraduate freshman student for the Fall term.
April 15, Friday	Last day to apply as an undergraduate transfer student for the Fall term.

June 1, Wednesday	Last day to apply for admission to Graduate School for the Fall semester.
July 1, Friday	Last day to apply as a undergraduate readmit student or post baccalaureate teacher licensure student for the Fall term
August 9, Tuesday	Last day to submit appeals to SAAC for readmission for Fall semester.
August 11, Thursday	Late Processing Fee assessed for all who have not paid fees by 4:00 pm.
August 12, Friday	Fees accepted with late processing fee.
August 15, Monday	Schedules canceled for all who have not paid fees by 4:00 pm.
August 22, Monday	Faculty meetings.
August 22, Monday	Advising, registration, and schedule adjustments.
August 23, Tuesday	Classes begin; schedule changes.
August 29, Monday	Last day for registration and schedule changes (drop and add) by 5:00 pm.
August 30, Tuesday	Last day for schedule changes (add only) by 5:00 pm.
September 5, Monday	Labor Day holiday (no classes).
September 6, Tuesday	State holiday makeup day (classes which would have met on Monday, September 5, will meet on this day so there will effectively be the same number of Mondays and Tuesdays as every other weekday during the semester; Tuesday classes will not meet.)
September 6, Tuesday	Last day to apply for graduation in December.
October 8-11 Saturday-Tuesday	Fall Break.
October 12, Wednesday	8:00 am - Classes resume.
October 17 – 21 Monday-Friday	Advising for Spring Semester 2012.
October 18, Tuesday	Last day for undergraduate students to drop term-length courses or withdraw from school without grades by 5:00 pm. Block courses may be dropped only during the first 50% of their regularly scheduled class meetings.
October 24, Monday	Registration for Spring Semester 2012 begins.
November 1, Tuesday	Last day to apply as an undergraduate student for the Spring term
November 28, Monday	8:00 am - Classes resume.
November 28, Monday	Undergraduate students last day to remove incompletes given during Spring and/or Summer session 2011.
November 28, Monday	Last day for graduate students to drop courses without grades by 5:00 pm.
November 29, Tuesday	Last day to submit thesis to the Graduate School for completion of degree in this term.
December 1, Thursday	Last day to apply as an undergraduate transfer student for the Spring term.
December 6, Tuesday	Graduate students last day to remove incompletes given during Fall 2010.
December 6, Tuesday	Classes end. Last day for submission of grade replacement requests.
December 7, Wednesday	Reading day.
December 8, Thursday	Final Examinations begin.
December 15, Thursday	Exams for Fall semester close at 4:30 pm.
December 16, Friday	Commencement.
December 17, Saturday	Grades due at noon.
December 23, Friday	Last day to submit appeals to SAAC for readmission for Spring semester.

EXAMINATION SCHEDULE
FALL SEMESTER 2011

There will be no departure from the printed schedule, except as noted below: All examinations for one credit hour classes will be held during the last regular meeting of the class. Classes meeting more than three times a week will follow the examination schedule for MWF classes. The final exam meeting is required in order to satisfy the 750 contact minutes per credit hour required by the University of North Carolina Office of the President.

Classes beginning 6:00 pm or later are considered night classes. Examinations in classes meeting one night a week will be held at 7:30-10:00 pm on the first night of their usual meeting during the examination period (December 8-December 15). Examinations in classes meeting two or more nights a week and beginning before 8:00 pm will be held at 7:30-10:00 pm on the first night of their usual meeting during the examination period (December 8- December 15). Examinations in classes meeting two or more nights a week and beginning at or after 8:00 pm will be held at 7:30-10:00 pm on the second night of their usual meeting during the examination period (December 8- December 15). Classes meeting on Saturday morning will have their final examinations on Saturday, December 10, at the usual hour at which the classes meet.

Classes beginning on the half hour or meeting longer than one hour will have their final examination at the time determined by the hour during which the classes begin (e.g., 9:30-11:00 am TTh classes will follow the examination schedule of the 9:00 am TTh classes; 8:00-10:00 am MWF classes will follow the examination schedule of the 8:00 am MWF classes)

Common examinations will be held according to the following schedule:

FREN 1001, 1003, SPAN 1001, 1004, GERM 1001	5:00 - 7:30 Thursday, December 8
FREN 1002, SPAN 1002, 1003, GERM 1002	5:00 - 7:30 Friday, December 9
MATH 1065	5:00 - 7:30 Monday, December 12
CHEM 0150, 1120, 1130, 1150, 1160	5:00 - 7:30 Tuesday, December 13
CHEM 1121, 1131, 1151, 1161, 2753, 2763	5:00 - 7:30 Wednesday, December 14

Times class regularly meets	Time and day of examination
8:00 MWF	8:00 - 10:30 Wednesday, December 14
8:00 TTh	8:00 - 10:30 Thursday, December 15
9:00 MWF	8:00 - 10:30 Friday, December 9
9:00 TTh (9:30)	8:00 - 10:30 Thursday, December 8
10:00 MWF	8:00 - 10:30 Monday, December 12
10:00 TTh	8:00 - 10:30 Tuesday, December 13
11:00 MWF	11:00 - 1:30 Wednesday, December 14
11:00 TTh	11:00 - 1:30 Tuesday, December 13
12:00 MWF	11:00 - 1:30 Friday, December 9
12:00 TTh (12:30)	11:00 - 1:30 Thursday, December 8
1:00 MWF	11:00 - 1:30 Monday, December 12
1:00 TTh	11:00 - 1:30 Thursday, December 15
2:00 MWF	2:00 - 4:30 Wednesday, December 14
2:00 TTh	2:00 - 4:30 Thursday, December 15
3:00 MWF (3:30)	2:00 - 4:30 Friday, December 9
3:00 TTh (3:30)	2:00 - 4:30 Tuesday, December 13
4:00 MWF	2:00 - 4:30 Monday, December 12
4:00 TTh	2:00 - 4:30 Thursday, December 8

5:00 MWF	5:00 - 7:30 Monday, December 12
5:00 TTh	5:00 - 7:30 Thursday, December 8

SPRING SEMESTER 2012

(Actual class days: 14 Mondays, 14 Tuesdays, 14 Wednesdays, 14 Thursdays, 14 Fridays, 14 Saturdays. Effective class days: 14 Mondays, 14 Tuesdays, 14 Wednesdays, 14 Thursdays, 14 Fridays, 14 Saturdays.)

October 15, Saturday	Last day to apply for admission to Graduate School for the Spring semester.
November 1, Tuesday	Last day to apply as an undergraduate student for the Spring term
December 1, Thursday	Last day to apply as an undergraduate transfer student for the Spring term.
December 23, Friday	Last day to submit appeals to SAAC for readmission for Spring semester.
January 2, Monday	Late Processing Fee assessed for all who have not paid fees by 4:00 pm.
January 2, Monday	Fees accepted with late processing fee.
January 3, Tuesday	Class schedules canceled for all who have not paid fees by 4:00 pm.
January 5, Thursday	Advising and schedule adjustments.
January 6, Friday	Classes begin; schedule changes.
January 12, Thursday	Last day for registration and schedule changes (drop and add) by 5:00 pm.
January 13, Friday	Last day for schedule changes (add only) by 5:00 pm.
January 16, Monday	State holiday (no classes).
January 20, Friday	Last day to apply for graduation in May.
February 29, Wednesday	Last day for undergraduate students to drop term-length courses or withdraw from school without grades by 5:00 pm. Block courses may be dropped only during the first 50% of their regularly scheduled class meetings.
March 4-11 Sunday – Sunday	Spring Break.
March 12, Monday	8:00 am - Classes resume.
March 12-16 Monday-Friday	Advising for Summer sessions and Fall semester 2012.
March 15, Thursday	Last day to apply as an undergraduate freshman student for the Fall term
March 19, Monday	Registration for Summer sessions and Fall semester 2012 begins.
March 26, Monday	Last day to apply for graduation during the Summer sessions.
April 6-7 Friday-Saturday	State holiday (no classes).
April 12, Thursday	Undergraduate students last day to remove incompletes given during Fall semester 2011.
April 12, Thursday	Last day for graduate students to drop courses without grades by 5:00 pm.
April 13, Friday	Last day to submit thesis to the Graduate School for completion of degree in this term.
April 16, Monday	Last day to apply as an undergraduate transfer student for the Fall term
April 16, Monday	Last day to apply as a post baccalaureate teacher licensure student for Summer Sessions
April 23, Monday	Graduate students last day to remove incompletes given during Spring and/or Summer session 2011.
April 23, Monday	Classes end. Last day for submission of grade replacement requests.

April 24-25 Tuesday-Wednesday	Reading days.
April 26, Thursday	Final examinations begin.
May 1, Tuesday	Last day to apply as an undergraduate student for first summer & 11-Week Sessions
May 3, Thursday	Exams for Spring semester close at 4:30 pm.
May 4, Friday	Commencement.
May 5, Saturday	Grades due at noon.

EXAMINATION SCHEDULE
SPRING SEMESTER 2012

There will be no departure from the printed schedule, except as noted below: All examinations for one credit hour classes will be held during the last regular meeting of the class. Classes meeting more than three times a week will follow the examination schedule for MWF classes. The final exam meeting is required in order to satisfy the 750 contact minutes per credit hour required by the University of North Carolina Office of the President.

Classes beginning 6:00 pm or later are considered night classes. Examinations in classes meeting one night a week will be held at 7:30-10:00 pm on the first night of their usual meeting during the examination period (April 26-May 3). Examinations in classes meeting two or more nights a week and beginning before 8:00 pm will be held at 7:30-10:00 pm on the first night of their usual meeting during the examination period (April 26-May 3). Examinations in classes meeting two or more nights a week and beginning at or after 8:00 pm will be held at 7:30-9:30 pm on the second night of their usual meeting during the examination period April 26-May 3). Classes meeting on Saturday morning will have their final examinations on Saturday, April 28, at the usual hour at which the classes meet.

Classes beginning on the half hour or meeting longer than one hour will have their final examination at the time determined by the hour during which the classes begin (e.g., 9:30-11:00 am TTh classes will follow the examination schedule of the 9:00 am TTh classes; 8:00-10:00 am MWF classes will follow the examination schedule of the 8:00 am MWF classes)

Common examinations will be held according to the following schedule:

MATH 1065	5:00 - 7:30 Thursday, April 26
CHEM 0150, 1120, 1130, 1150, 1160	5:00 - 7:30 Friday, April 27
CHEM 1121, 1131, 1151, 1161, 2753, 2763	5:00 - 7:30 Monday, April 30
FREN 1001, 1003, SPAN 1001, 1004, GERM 1001	5:00 - 7:30 Tuesday, May 1
FREN 1002, SPAN 1002, 1003, GERM 1002	5:00 - 7:30 Wednesday, May 2

Times class regularly meets	Time and day of examination
8:00 MWF	8:00 - 10:30 Monday, April 30
8:00 TTh	8:00 - 10:30 Tuesday, May 1
9:00 MWF	8:00 - 10:30 Wednesday, May 2
9:00 TTh (9:30)	8:00 - 10:30 Thursday, May 3
10:00 MWF	8:00 - 10:30 Friday, April 27
10:00 TTh	8:00 - 10:30 Thursday, April 26
11:00 MWF	11:00 - 1:30 Monday, April 30
11:00 TTh	11:00 - 1:30 Thursday, April 26
12:00 MWF	11:00 - 1:30 Wednesday, May 2
12:00 TTh (12:30)	11:00 - 1:30 Thursday, May 3
1:00 MWF	11:00 - 1:30 Friday, April 27

1:00 TTh	11:00 - 1:30 Tuesday, May 1
2:00 MWF	2:00 - 4:30 Monday, April 30
2:00 TTh	2:00 - 4:30 Tuesday, May 1
3:00 MWF (3:30)	2:00 - 4:30 Wednesday, May 2
3:00 TTh (3:30)	2:00 - 4:30 Thursday, April 26
4:00 MWF	2:00 - 4:30 Friday, April 27
4:00 TTh	2:00 - 4:30 Thursday, May 3
5:00 MWF	5:00 - 7:30 Monday, April 30
5:00 TTh	5:00 - 7:30 Thursday, April 26

Faculty Senate Agenda
March 30, 2010
Attachment 4.

ACADEMIC AWARDS COMMITTEE REPORT

Procedures for a University Scholarship of Engagement Award

TITLE OF AWARD

University Scholarship of Engagement Award

PURPOSE OF THE AWARD

The purpose of the Scholarship of Engagement Award is to recognize one full time faculty member annually for achievement in the scholarship of engagement and a sustained commitment to partnered scholarly endeavors with communities.

The scholarship of engagement (SOE) is scholarly activity in which faculty participate in connection with community partners. The community is viewed as an equal partner and works collaboratively through all aspects of the program from topic identification, data collection, implementation, analysis, and dissemination. The scholarship products are professional presentations and publications along with research studies of partnerships, documentation of community response to engagement and outreach, and other forms of assessment that have been disseminated by means of reports and policies.

Community Engagement focuses on collaborative interactions with community. The focus is a mutually planned and beneficial exchange, exploration, and application of knowledge, information, and resources.

ELIGIBILITY FOR AWARD

Full time faculty members in all colleges and schools are eligible to be nominated or self-nominate for the award. There is one award given annually.

CRITERIA FOR AWARD

The faculty member receiving this award will provide:

1. Evidence that the SOE positively impacted the community(ies).
2. Evidence of sustained and equal relationships with the community(ies) for the purpose of scholarship.
3. Evidence of a relationship between SOE, ECU Tomorrow, and department/unit goals.
4. Evidence of leadership in SOE.
5. Products related to the dissemination of SOE in juried presentations, publications, and in appropriate and accessible public venues.

NOMINATION AND SELECTION PROCESS

Department-level academic units (to include 'areas of concentration' in the School of Art) may select nominees for the Scholarship of Engagement award consideration at the University level. Nominations may also be forwarded directly from the individual candidate or any collegial representative of the candidate's field of work. All nominations must consider the definition of the scholarship of engagement when determining eligible faculty. The nomination letter, not to exceed two pages in length, should explain why the nominee deserves the award.

The nominee will provide a portfolio that is a maximum of 20 pages (no appendices, 1 inch margins all around, minimum of 11 point font). Any portfolios that do not adhere to these directions will not be reviewed. The portfolio must include:

1. A 500-word essay that describes SOE from the nominee's perspective including the impact of the SOE on the community(ies), ECU and the discipline.
2. A CV highlighting the nominee's SOE that is a maximum of 5 pages (1 inch margins all around, minimum of 11 point font).
3. Appropriate evidence illustrating that the nominee meets the criteria for the award. A letter of nomination, not to exceed two pages, should indicate why the nominee deserves the award. Examples of evidence might include letters that attest to the impact on the unit, discipline, students and/or community; abstracts of grants, articles and presentations; media reports; awards; photographs with captions.

SELECTION PROCESS

Portfolios must be submitted to the Academic Awards Committee c/o the Office for Faculty Excellence by September 15 at 5:00 pm. No additional materials will be accepted after this date.

The Academic Awards Committee will review the nominees based upon the criteria for the award and will provide the Vice Chancellor for Research and Graduate Studies their recommendation(s) along with the names and portfolios of all nominees. The Vice Chancellor will review the recommended nominee's portfolio based upon the award procedures and after conferring with the Committee will determine the awardee. The Vice Chancellor will send letters of award recognition to the successful faculty member and the Awards Committee. The Vice Chancellor will recognize all nominees via a letter.

AWARD

The award carries a monetary prize and a plaque. Recognition will occur at the ECU Awards Recognition Ceremony.

Faculty Senate Agenda
March 30, 2010
Attachment 5.

ACADEMIC STANDARDS COMMITTEE REPORT

Proposed Revisions to the *ECU Faculty Manual*, Part V. Academic Information,
Section I. Academic Procedures and Policies, Subsection Y. Disruptive Academic Behavior

(Additions are noted in **bold** print and deletions in ~~strikethrough~~.)

Revise and keep in the Faculty Manual.

Disruptive Academic Behavior
East Carolina University is committed to providing each student with a rich, distinctive educational experience. Disruptive academic behavior impedes the learning environment and hinders other students' learning. The course instructor has original purview over his/her class and may deny a student who is unduly disruptive the right to attend the class. Students who repeatedly violate reasonable standards of behavior in the classroom or other academic setting may be removed from the course by the instructor following appropriate notice. Students removed from a course under this policy will receive a "drop" according to university policy and are eligible for tuition refund as specified in the current tuition refund policy.

This policy does not restrict the instructor's prerogative to ask a disruptive student to leave an individual class session where appropriate or to refer the student to the Office of Student Rights and Responsibilities for violation of the Student Code of Conduct.

Disruptive Academic Behavior
Disruptive academic behavior is any behavior likely to substantially or repeatedly interfere with the normal conduct of instructional activities, including meetings with instructors outside of class. Examples of such behavior include, but are not limited to, making loud or distracting noises; using cell phones and other electronic devices without prior approval; repeatedly speaking without being recognized; frequently arriving late or leaving early from class; and making threats or personal insults. A verbal expression of a disagreement with the instructor or other students on an academic subject matter discussed within the course, during times when the instructor permits discussion, is not in itself disruptive academic behavior.

Procedure for Instructors
A student who does not follow reasonable standards of academic decorum should first receive a private verbal warning from the faculty member. The instructor should describe the behavior of concern to the student, explain that it is inappropriate, and ask the student to stop the behavior. If the behavior continues, the instructor should give the student a written warning indicating that the student will be removed from the course if the behavior does not cease. If the behavior persists, the instructor should discuss the situation with his/her department chair. If it is decided to remove the student from the course then the instructor should schedule a meeting with his/her department chair and the student to inform the student that s/he is being removed from the course. This decision must be communicated in writing to the student with a copy promptly forwarded to the Office of Student Rights and Responsibilities. The department chair must promptly communicate the decision in writing to the Office of the Registrar so that the student's schedule will be adjusted accordingly. Instructors should keep written documentation of all actions taken during this process.

If the behavior is threatening in nature or is likely to result in immediate harm, the faculty member should contact the East Carolina University Police Department for immediate assistance.

Student Appeals

The student may appeal the decision of the instructor and department chair to the academic dean of the college in which the course is located. The appeal must be received by the dean, in writing, within three working days of the date of the decision to remove the student from the course. The dean or dean's designee will review the appeal and the documentation, will discuss the appeal with the faculty member and, after discussion with the student and instructor, can affirm, reverse or modify the decision made by the instructor and department chair. The student, instructor and department chair will be notified of the appeal decision no later than three working days after receiving the appeal. The dean will provide written notification of the appeal decision to the Office of Student Rights and Responsibilities, and also, if the original decision is overturned, to the Registrar's Office. If the decision is made that the student is to return to the course then the student will be allowed to immediately return to the classroom without academic penalty and the chair will work with the student and instructor to facilitate the completion of any missed work. The dean's decision is final.

~~Y. Disruptive Academic Behavior~~

~~East Carolina University is committed to providing each student with a rich, distinctive educational experience. To this end, students who do not follow reasonable standards of behavior in the classroom or other academic setting may be removed from the course by the instructor following appropriate notice. Students removed from a course under this policy will receive a grade of "drop" according to university policy and are eligible for tuition refund as specified in the current tuition refund policy.~~

~~Disruptive academic behavior is any behavior likely to substantially or repeatedly interfere with the normal conduct of instructional activities, including meetings with instructors outside of class. Examples of such behavior include, but are not limited to, making loud or distracting noises; using cell phones and other electronic devices without prior approval; repeatedly speaking without being recognized; frequently arriving late to class; and making threats or personal insults. A verbal expression of a disagreement with the instructor or other students on an academic subject matter discussed within the course, during times when the instructor permits discussion, is not in itself disruptive academic behavior.~~

~~The course instructor has original purview over his/her class and may deny a student who is unduly disruptive the right to attend the class. A student who does not follow reasonable standards of academic decorum should receive a private verbal warning from the faculty member. The instructor should describe the behavior of concern to the student, explain that it is inappropriate, and ask the student to stop the behavior. If the behavior continues, the instructor should give the student a written warning indicating that the student will be removed from the course if the behavior does not cease. If the behavior persists, the instructor should discuss the situation with his/her department chair. If it is decided to remove the student from the course then the instructor should schedule a meeting with his/her department chair and the student to inform the student that s/he is being removed from the course. This decision must be communicated in writing to the student with a copy promptly forwarded to the Office of Student Rights and Responsibilities. The department chair must promptly communicate the decision in writing to the Office of the Registrar so that the student's schedule will be adjusted accordingly.~~

~~If the behavior is threatening in nature or is likely to result in immediate harm, the faculty member should contact the East Carolina University Police Department for assistance.~~

~~The student may appeal the decision of the instructor and department chair to the academic dean of the college in which the course is located. The appeal must be received by the dean, in writing, within three working days of the date of the decision to remove the student from the course. The dean or dean's designee will review the appeal and the documentation, will discuss the appeal with the faculty member and, after discussion with the student and instructor, can affirm, reverse or modify the decision made by the instructor and department chair. The student, instructor and department chair will be notified of the appeal decision no later than three working days after receiving the appeal. The dean will provide written notification of the appeal decision to the Office of Student Rights and Responsibilities, and also, if the original decision is overturned, to the Registrar's Office. If the decision is made that the student is to return to the course then the student will be allowed to immediately return to the classroom without academic penalty and the chair will work with the student and instructor to facilitate the completion of any missed work. The dean's decision is final.~~

~~This policy does not restrict the instructor's prerogative to ask a disruptive student to leave an individual class session where appropriate or to refer the student to the Office of Student Rights and Responsibilities for violation of the Student Code of Conduct. (Faculty Senate Resolution #07-13, June 2007)~~

Faculty Senate Agenda
March 30, 2010
Attachment 6.

ACADEMIC STANDARDS AND ADMISSION AND RETENTION POLICIES COMMITTEES REPORT

Proposed Revisions to the *ECU Faculty Manual*, Part V. Academic Information, Section I. Academic Procedures and Policies, Subsection I.W. Student Attendance Regulations

(Additions are noted in **bold** print and deletions in ~~strikethrough~~.)

Revise and keep in the Faculty Manual.

<u>Class Attendance and Participation Regulations</u>
A student's participation in the work of a course is a precondition for receiving credit for the course. Students are expected to attend punctually all lecture and laboratory sessions and field experiences and to participate in course assignments and activities as described in the course syllabus. Absences are counted from the first class meeting after the student registers. Students registering late are expected to make up all missed assignments in a manner determined by the instructor.

Each instructor shall determine the class attendance policy for each of his or her courses as long as the instructor's policy does not conflict with university policy. The instructor's attendance policy, along with other course requirements, will be provided to the class on a syllabus distributed at the first class meeting. Class attendance may be a criterion in determining a student's final grade in the course if the instructor provides a written statement to this effect in the course syllabus. In determining the number of unexcused absences which will be accepted, the instructor should consider carefully the nature of the course, the maturity level of the students enrolled, and the consequent degree of flexibility included in the instructor's policy.

Students should consult with their instructors about all class absences. It is the responsibility of the student to notify the instructor immediately about class absences, to provide appropriate documentation for an absence, and discuss any missed class time, tests, or assignments. Except in the case of university-excused absences, it is the decision of the instructor to excuse an absence or to allow for any additional time to make up missed tests or assignments. Excused absences should not lower a student's course grade, provided that the student, in a manner determined by the instructor, is able to make up the work that has been missed and is maintaining satisfactory progress in the course.

The Student Health Service and the Center for Counseling and Student Development do not issue official written excuses for illness or injury, but will , upon request at the time of the visit, will provide a note confirming that the student has received medical care. In the event that the student is seriously ill or injured at the time of final examinations the Student Health Service or the Center for Counseling and Student Development, on request of the student, may recommend a medical incomplete. Instructors should normally honor written medical excuses from a licensed medical or psychological practitioner that states the student was too ill or injured to attend class and provides the specific date(s) for which the student was unable to attend class due to the medical or psychological problem.

The Dean of Students may authorize university-excused absences in the following situations:

1. **Student participation in authorized activities as an official representative of the university (i.e. athletic events, delegate to regional or national meetings or conferences, participation in university-sponsored performances).**
2. **Participation in other activities deemed by the Dean of Students to warrant an excused absence.**
3. **An extreme personal emergency about which the student is unable to speak directly to the instructor.**
4. **The death of an immediate family member (such as parent, sibling, spouse or child)**
5. **Student participation in religious holidays.**

It is the student's responsibility to obtain verification of a university-excused absence by contacting the Dean of Students. Faculty requests for university-excused absences should be submitted according to the timeline established by the Dean of Students. Requests submitted after the fact will be disapproved unless circumstances made prior approval impossible.

Instructors are expected to honor valid university-excused absences, and to provide reasonable and equitable means for students to make up work missed as a result of those absences. Students who anticipate missing 10% or more of class meeting time as a result of university-excused absences are required to receive approval from the instructor at the beginning of the semester. Student experiences that cannot be made up should be discussed at the onset of the course to ensure that continued enrollment is feasible while there is still the opportunity to drop the course within the schedule change period.

No instructor should urge a student to take part in an extracurricular activity at the expense of the student's class work or expect the student to appear at any practice or rehearsal if he or she has a scheduled class at that time. No class absences will be excused for practices or rehearsals. Only absences for performances and necessary travel to and from performances are excused.

A student who believes that he or she has been treated unfairly concerning absences or has been misinformed by the instructor regarding that instructor's absence policy shall have the

right to appeal. The appeal shall be in writing to the instructor's department chairperson or school director, and in the event the resolution is not satisfactory, the final decision rests with the academic dean.

~~IV. Student Attendance Regulations~~

~~Students are expected to attend punctually all lecture and laboratory sessions in the courses for which they are registered, beginning with the first session following registration in the course, except as provided below. Each instructor shall determine the class attendance policy that is felt to be best for the particular course. In determining the number of unexcused absences which will be accepted, the instructor should consider carefully the nature of the course, the maturity level of the students enrolled, and the consequent degree of flexibility which the instructor's policy will include. This policy, along with the instructor's requirements for announced quiz attendance, should be presented to the class, preferably in writing, at the beginning of the term and will govern attendance in the class. It is the intent of the university that students missing classes due to the observance of religious holidays be given ample opportunity to make up work. Instructors are expected to recognize and honor official university excuses, i.e., excuse students without penalty for absences because of participation in authorized university activities. If required by the instructor, verification of these authorized absences may be obtained by the student by contacting the office of the Dean of Students.~~

~~No faculty member should urge a student to take part in an extracurricular activity at the expense of the student's class work nor expect the student to appear at any rehearsal if he or she has a class at that period. No class absences will be excused for rehearsals. Only absences for performances and necessary travel to and from performances are excused. Verification of student illness may be obtained by calling the Student Health Service. Official written excuses are not issued for personal illness, except in the case of a final examination when a grade of incomplete is recommended. Student teachers assigned to schools within the immediate vicinity of the campus will report to the Student Health Service when they are ill. The Student Health Service, upon request from the office of Student Teaching and Field Experiences, will provide verification of their visits and indicate whether the severity of the illness warrants an absence from student teaching. Student teachers missing one or more days will return to the Student Health Service for a medical clearance before returning to public school classrooms~~.

Faculty Senate Agenda
March 30, 2010
Attachment 7.

ACADEMIC STANDARDS AND ADMISSION AND RETENTION POLICIES COMMITTEES REPORT

Proposed Revisions to the *University Undergraduate Catalog*,
Section 5. Academic Regulations, Class Attendance and Participation Regulations

(Additions are noted in **bold** print and deletions in ~~strikethrough~~.)

Class Attendance and Participation Regulations

A student's participation in the work of a course is a precondition for receiving credit for the course. Students are expected to attend punctually all lecture and laboratory sessions and field experiences and to participate in course assignments and activities as described in the course syllabus. Absences are counted from the first class meeting **after the student registers,** ~~and absences because of late registration may be excused only at the discretion of the instructor~~**. Students registering late are expected to make up all missed assignments in a manner determined by the instructor.**

Each instructor shall determine the class attendance policy for each of his or her courses as long as the instructor's policy does not conflict with university policy. The instructor's attendance policy will be provided to the class on a syllabus distributed at the first class meeting. Class attendance may be a criterion in determining a student's final grade in the course if the instructor provides a written statement to this effect in the course syllabus.

Students should consult with their instructors about all class absences. It is the responsibility of the student to notify the instructor immediately about class absences, to provide appropriate documentation for an absence, and discuss any missed class time, tests, or assignments. **Except in the case of university-excused absences,** ~~It~~ **it** is the decision of the instructor to excuse an absence or to allow for any additional time to make up missed tests or assignments. Excused absences should not lower a student's course grade, provided that the student, in a manner determined by the instructor, is able to make up the work that has been missed and is maintaining satisfactory progress in the course.

The Student Health Service **and the Center for Counseling and Student Development** do~~es~~ not issue official written excuses for illness or injury, **but will** ~~however,~~ upon request at the time of the visit, ~~will~~ provide a note confirming that the student has received ~~medical~~ care. In the event that the student is seriously ill or injured at the time of final examinations the Student Health Service **or the Center for Counseling and Student Development**, on request by the student, may recommend a medical incomplete. **A student who receives medical care from another licensed medical provider may take his or her instructor a note from that provider indicating that the student was too ill or injured to attend class, and listing the date(s) for which the student was unable to attend. The instructor may choose to accept these notes as evidence of excused absences.**

The Dean of Students may authorize a university-excused absence in the following situations:

1. Student participation in authorized activities as an official representative of the university (i.e. athletic events, delegate to regional or national meetings or conferences, participation in university-sponsored performances).
2. Participation in other activities deemed by the Dean of Students to warrant an excused absence.
3. An extreme personal emergency about which the student is unable to speak directly to the instructor.
4. The death of an immediate family member (**such as** parent, sibling, spouse or child).

5. Student participation in religious holidays.

It is the student's responsibility to obtain verification of a university-excused absence by contacting the Dean of Students. Requests for university-excused absences should be submitted, whenever possible, to the Dean of Students at least a week prior to the scheduled absence. Requests submitted after the fact will be disapproved unless circumstances made prior approval impossible.

Instructors are expected to honor valid university excused absences and to provide reasonable and equitable means for students to make up work missed as a result of those absences. Students who anticipate missing 10% or more of class meeting time as a result of university-excused absences are required to receive approval from the instructor at the beginning of the semester. Student experiences that cannot be made up should be discussed at the onset of the course to ensure that continued enrollment is feasible while there is still the opportunity to drop the course within the schedule change period.

A student who believes that he or she has been treated unfairly concerning absences or has been misinformed by the instructor regarding that instructor's absence policy shall have the right to appeal. **The appeal shall be** in writing **to** ~~through~~ the instructor's department chairperson or school director, **and in the event the resolution is not satisfactory,** ~~school director, and~~ the **final decision rests with** ~~to~~ **the** academic dean.

Faculty Senate Agenda
March 30, 2010
Attachment 8.

ADMISSION AND RETENTION POLICIES COMMITTEE REPORT

Proposed Revisions to the *University Undergraduate Catalog*,

Section 5. Academic Regulations, Special Readmission (Forgiveness) Policy

(Additions are noted in **bold** print and deletions in ~~strikethrough~~.
The proposed implementation dates are noted below in **red**.)

IMPLEMENT FALL 2010

~~Special Readmission (Forgiveness) Policy~~ Readmission Under Forgiveness Policy

Former East Carolina University students who have ~~been out of school~~ **not been enrolled at ECU** for a minimum of three consecutive academic years (six semesters, summer sessions excluded) may request ~~special~~ readmission **under the Forgiveness Policy.** Such requests must be submitted **on the application for readmission** ~~in writing~~ according to application deadline dates as specified above.

Students who have been enrolled at another regionally accredited college or university since their last enrollment at East Carolina University must submit to the Office of Admissions official transcripts indicating that a minimum cumulative **2.5 average has been earned in all transferable courses attempted.** ~~C average (2.0 on a 4.0 scale) has been earned in all transferable courses attempted and maintained an overall GPA of 2.50. No transfer credit will be awarded for courses taken at any institution of higher education during the initial three consecutive academic years. For courses taken in subsequent years, only those in which the student received a grade of C or better will be accepted for transfer credit at ECU. The sole exception is that students may attend ECU during summer~~

~~sessions for credit.~~

Subsequent **East Carolina University-based** GPAs of students readmitted under this policy will be computed without inclusion of previous course work in which a grade below **a** C was received; credit toward graduation will not be allowed for such course work.

Students should be aware, however, that all ECU grades, including those earned prior to readmission under the forgiveness policy~~, However, this work~~ will be included in calculations for consideration for degrees with distinction.

A student may **take advantage of** ~~be readmitted under~~ the **Readmission under Forgiveness Policy** ~~Forgiveness Policy~~ only one time. Those readmitted under this policy are on academic probation for the first 19 ~~s.h.~~ **semester hours** of attempted course work. At the end of the term in which the nineteenth semester hour is attempted, a minimum cumulative C average must have been earned at East Carolina University on all course work attempted since readmission under forgiveness. Failure to meet this stipulation will result in the student being ineligible, except for summer school, until such time as the C average is obtained.

Students should be aware that the Readmission under Forgiveness Policy is an ECU policy that is not recognized in the U.S. Department of Education's calculation of financial aid eligibility. Students who plan to apply to or receive financial aid should contact the financial aid office. Cashier accounts must be cleared of any outstanding balance, if any, prior to registration for the term of readmission.

Students should also be aware that a substantial ~~50%~~ tuition surcharge will be applied if a student has exceeded 110% of the hours required to achieve a degree.

Faculty Senate Agenda
March 30, 2010
Attachment 9.

ADMISSION AND RETENTION POLICIES COMMITTEE REPORT

Proposed Revisions to the *University Undergraduate Catalog*,

Section 5. Academic Regulations, While Enrolled in East Carolina University

(Additions are noted in **bold** print and deletions in ~~strikethrough~~.
The proposed implementation dates are noted below in **red**.)

IMPLEMENT FALL 2010

~~**While Enrolled in East Carolina University**~~
Permission to Take Courses at Another United States College or University

Approval must be granted in writing by the **Center for Academic Services with permission from the designee of the academic unit offering the course at ECU** ~~and the Center for Academic Services~~ prior to enrollment for transfer of any course taken at ~~any other regionally accredited institution.~~ **a regionally accredited community college or senior institution.** An official transcript must be submitted to the Office of the Registrar immediately upon completion of the course(s). Only courses in which the student earns a C or better will be accepted in transfer. Permission is limited to 18 ~~s.h.~~ **semester hours** credit per semester or 7 ~~s.h.~~ **semester hours** credit per summer term. ~~For purposes of this policy, correspondence courses are distinguished from distance education courses.~~

This policy applies to courses taken starting Fall 2010 and is not retroactive to courses taken earlier unless the student met the academic eligibility of the previous policy.

- ~~Approval will not be granted if the student has less than a cumulative GPA of 2.0 at East Carolina.~~
- Approval will not be granted if the student is ineligible to return to the university because of disciplinary action.
- Approval will not be granted for courses in which credit has been previously earned.
- ~~Approval will not be granted for correspondence courses in the student's major field.~~
- ~~Approval will not be granted for correspondence courses beyond 15 percent of the total hours required for graduation. (See Independent Study)~~

With specific authorization as indicated **above** ~~below~~, approval may be granted in the following instances:

- If the student has been previously enrolled in ~~a comparable~~ **an equivalent** course~~, specific approval must be granted by the chairperson of the department offering the course and the Center for Academic Services.~~
- If the student has attained junior standing and wishes to attend a two-year institution, ~~specific approval must be granted by the Center for Academic Services.~~
- If the student has previously completed 60 ~~s.h.~~ **semester hours** or more at a two-year institution~~, specific approval must be granted by the Center for Academic Services prior to permitting the transfer of additional credit from a two-year institution.~~
- If the student wishes to be enrolled concurrently at ECU and in ~~correspondence courses, extension courses, or~~ courses at another institution.~~, the **Center for Academic Services with permission from the designee of the academic unit(s)** and the Center for Academic Services must grant specific approval.~~

Students should be aware that courses completed elsewhere and transferred in to ECU are not included for the calculation of the ECU GPA. However, transfer semester hours are included when determining the student's retention requirements as follows:

1-29 ECU GPA + transfer semester hours = 1.6 cumulative ECU GPA
30-59 ECU GPA + transfer semester hours = 1.8 cumulative ECU GPA
60-74 ECU GPA + transfer semester hours = 1.9 cumulative ECU GPA
75+ ECU GPA + transfer semester hours = 2.0 cumulative ECU GPA

Faculty Senate Agenda
March 30, 2010
Attachment 10.

FACULTY GOVERNANCE COMMITTEE REPORT

Proposed revision to the *ECU Faculty Manual,* Part VI,
Section I. Employment Policies

Remove from Faculty Manual and incorporate into revised Appendix C.

~~A. . Appointment~~

~~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.* (Faculty Senate Resolution #03-13, March 2003)~~

Remove from Faculty Manual and incorporate into revised Appendix C.

~~F. Promotion~~

~~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.*~~

Remove from Faculty Manual and incorporate into revised Appendix D.

~~G. Resignation and Re-appointment~~

~~See *Appendix D, Tenure and Promotion Policies and Procedures of ECU.*~~

Remove from Faculty Manual and incorporate into revised Appendix C or D as appropriate.

~~K. Tenure~~

~~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.*~~

Faculty Senate Agenda
March 30, 2010
Attachment 11.

FACULTY GOVERNANCE COMMITTEE REPORT

Proposed revision to the *ECU Faculty Manual,* Part VI,
Section V. External Professional Activities of Faculty and Other Professional Staff

Remove from Faculty Manual and incorporate into revised Appendix I.

~~V. External Professional Activities of Faculty and Other Professional Staff (Formerly *Appendix Q*)~~

~~A. University Policy~~

~~The University of North Carolina and its constituent institutions seek to appoint and to retain, as faculty and other professional staff members, individuals of exceptional competence in their respective fields of professional endeavor.~~

~~Because of their specialized knowledge and experience, such persons have opportunities to apply their professional expertise to activities outside of their university employment, including secondary employment consisting of paid consultation with or other service to various public and private entities 35. Through such practical, compensated applications of their professional qualifications, university employees enhance their own capabilities in teaching and research. Thus, participation of faculty and other professional staff members in external professional activities for pay, typically in the form of consulting, is an important characteristic of academic employment that often leads to significant societal benefits, including economic development through technology transfer. However, such external professional activities for pay are to be undertaken only if they do not:~~

1. create a conflict of commitment by interfering with the obligation of the individual to carry out all primary university duties in a timely and effective manner; or
2. create a conflict of interest vis-à-vis the individual's status as an employee of the university; or
3. involve any inappropriate use or exploitation of university resources; or
4. make any use of the name of The University of North Carolina or any of its constituent institutions for any purpose other than professional identification; or
5. claim, explicitly or implicitly, any university or institutional responsibility for the conduct or outcome of such activities.

B. Definitions

1."External professional activities for pay" means any activity that:

a. is not included within one's university employment responsibilities;
b. is performed for any entity, public or private, other than the university employer;
c. is undertaken for compensation; and
d. is based upon the professional knowledge, experience, and abilities of the faculty or other professional staff member.

Activities for pay not involving such professional knowledge, experience, and abilities are not subject to the advance disclosure and approval requirements of section C. of this policy, although they are subject to the basic requirement that outside activities of any type not result in neglect of primary university duties, conflicts of interest, inappropriate uses of the university name, or claims of university responsibility for the activity.

2. "University employment responsibilities" include both "primary duties and "secondary duties." Primary duties consist of assigned teaching, scholarship, and all other institutional service requirements. Secondary duties consist of Professional affiliations and activities traditionally undertaken by faculty and other professional staff members outside of the immediate university employment context that redound to the benefit of the profession and to higher education in general. Such endeavors, which may or may not entail the receipt of honoraria or the reimbursement of expenses, include membership in and service to professional associations and learned societies; membership on professional review or advisory panels; presentation of lectures, papers, concerts or exhibits; participation in seminars and conferences; reviewing or editing scholarly publications and books, and service to accreditation bodies. Such integral manifestations of one's membership in a profession are encouraged, as extensions of university employment, so long as they do not conflict or interfere with the timely and effective performance of the individual's primary university duties.
3. "Faculty or other professional staff member" means any person who is employed full-time by The University of North Carolina or a constituent institution or other agency or unit of The University of North Carolina and who is not subject to the State Personnel Act.
4. "Department" means an academic department, a professional school without formally established departments, or any other administrative unit designated by the chancellor of an institution or by the president for the office of General Administration, for the purposes of implementing this policy.
5. "Inappropriate use or exploitation of university resources" means using any services, facilities, equipment, supplies, or personnel which members of the general public may not freely use. A person engaged in external professional activities for pay may use, in that connection, his or her office and publicly accessible facilities such as university libraries; however, an office shall not be used as the site for compensated appointments with clients, e.g., for counseling or instruction. Under no circumstances may a supervisory employee use the services of a supervised employee during university employment time to advance the supervisor's external professional activities for pay.
6. "Conflict of interest" relates to situations in which financial or other personal considerations may compromise, may have the potential for compromising, or may have the appearance

~~of compromising an employee's objectivity in meeting university duties or responsibilities, including research activities.~~

~~C. Procedures Governing External Professional Activity for Pay~~

~~1. A faculty or other professional staff member who plans to engage in external professional activity for pay shall complete the "Notice of Intent to Engage in External Professional Activity for Pay" (hereinafter referred to as "Notice of Intent,"), which shall be filed with the head of the department in which the individual is employed. A separate "Notice of Intent" shall be filed for each such activity in which an employee proposes to engage. Unless there are exceptional circumstances, the "Notice of Intent" shall be filed not less than ten calendar days before the date the proposed external professional activity for pay is to begin.~~

~~2. Approval of a "Notice of Intent" may be granted for a period not to exceed the balance of either 1) the fiscal year (in the case of twelve-month employees and employees with contract service periods that include the summer session) or 2)the academic year (in the case of nine-month employees with no summer session contract period) remaining as of the date of approval; if the approved activity will continue beyond the end of the relevant fiscal or academic year in which it was begun, an additional "Notice of Intent" must be filed at least ten days before engaging in such activity in the succeeding relevant year.~~

~~3. Except as set out in paragraph d., below, the "Notice of Intent" shall be considered as follows: If, after a review of the "Notice of Intent" and consultation with the faculty or other professional staff member, the unit head determines that the proposed activity is not consistent with this policy statement of the board of governors, the faculty or other professional staff member shall be notified of that determination within ten calendar days of the date the "Notice of Intent" is filed. In the event of such notification by the unit head, the faculty or other professional staff member shall not proceed with the proposed activity but may appeal that decision to the next higher administrator and then to the chancellor (or, in the General Administration, to the president). A decision on any such appeal shall be given to the faculty or other professional staff member within ten calendar days of the date on which the appeal is received. The decision of the chancellor (or of the president) shall be final. Appeals shall be made in writing on the "Notice of Intent" form.~~

~~4. If question 8., question 9.a., or question 9.b. on the "Notice of Intent" is answered in the affirmative, the procedure set out in paragraph 3.c., above, shall be modified as follows: The decision of the unit head to approve the activity shall be reviewed promptly and approved or disapproved within ten days of receipt by the next higher administrator, and appeal of a disapproval by that officer shall be to the chancellor (or, in the General Administration, to the president).~~

~~5. Departmental summaries of all "Notices of Intent" filed and of actions taken in response to such "Notices of Intent" during the preceding fiscal year shall be submitted by unit heads to the chancellor (or, in the General Administration, to the president) each July. The chancellors shall provide annual summary reports to the president by September 1 of each year.~~

~~6. University employees not complying with these procedures will be subject to disciplinary action. Unit heads are held responsible for proper reporting.~~

~~D. Special Provisions~~

~~1. External professional activities for pay performed for another institution or agency of the State of North Carolina also must comply with state policies governing dual employment and compensation, unless an exception to those state policies is expressly authorized by the chancellor or the president.~~

~~2. The procedures in section 5 shall not be required of faculty and other professional staff members serving on academic year contracts if the external professional activity for pay is wholly performed and completed between the day following spring commencement and the first day of registration for the fall semester, provided that the activity does not conflict with~~

this policy statement of the board of governors and is not conducted concurrently with a contract service period for teaching, research, or other services to the institution during a summer session

E. Effective Date

This policy statement shall become effective on 1 July 1993.

F. Sample Form for Notice of Intent to Engage in External Professional Activities for Pay

Date: (Name) - Intends to engage in external professional activity for pay under the following Conditions

1. Name and address of contracting organization:
2. Nature of proposed activity:
3. Beginning date and anticipated duration of activity:
4. On average, how many hours per week will be devoted to this activity?
   a. For twelve-month employees, for the anticipated duration of the activity, within the current fiscal year ending June 30:
   b. For nine-month employees, for each component part of the academic year, as applicable, within the current fiscal year ending June 30
      1) Second summer session (post July 1)
      2) Fall semester
      3) Spring semester
      4) First summer session (pre July 1)
5. Total number of hours to be devoted to activity:
6. Identify any classes, meetings, or other university duties that will be missed because of involvement in the proposed activity (respond separately for each applicable component part of the academic calendar if nine-month employee) and state what arrangements have been made to cover any such duties: Duties Missed Arrangements to Cover
7. Use of university resources in connection with proposed activity:
   a. Will the activity entail the use of any university resources? _ Yes _ No
   b. If yes, describe what resources will be used.
8. To your knowledge, does the contracting organization above provide funding which directly supports any of your university duties or activities? _ Yes _ No
9. To be completed if the contracting organization is a private firm:
   a. Do you or any member of your immediate family own an equity interest in the contracting organization? _ Yes _ No
   b. Do you hold an office in the contracting organization? _ Yes _ No
10. Performance of the above described activity is consistent with the board of governors policy on external professional activities. (Signatures Follow)

G. Sample Form for Activity During Past Fiscal Year

Provide the following information for each external professional activity for pay in which you engaged during the last fiscal year preceding the date of filing of this "Notice of Intent"

1. Contracting organization:
2. Beginning and ending date of activity (if completed):
3. Average hours per week devoted to this activity.
4. Total number of hours devoted to this activity:
5. Nature of professional activity:
6. Date Notice of Intent was filed:

H. Sample Form for Administrative Action on Notice of Intent

1. Reviewed; activity determined to be consistent with university policy.

   Date: Unit Head: Other action (as required):

   Date: Dean or Other Administrative Officer*

   *Approval by dean or next higher administrator is required if question 8., 9.a., or 9,b. is answered in the affirmative.

2. Reviewed; activity determined not to be consistent with university policy

   Date: Unit Head: Action on appeal (if any):

~~Date: Action Taken: Dean or Next Higher Administrator:~~
~~Date: Action Taken: Chancellor:~~
~~Any administrative action approving a "Notice of Intent" shall be effective only for the remaining balance of the fiscal year (in the case of twelve-month employees) or for the balance of the academic year (for nine-month employees).~~

Faculty Senate Agenda
March 30, 2010
Attachment 12.

FACULTY GOVERNANCE COMMITTEE REPORT

Proposed revision to the *ECU Faculty Manual,* Part VI,
Section VII. Frequently Asked Questions About Faculty Personnel Records

Remove from Faculty Manual and incorporate into revised Appendix C.

~~VIII. Frequently Asked Questions About Faculty Personnel Records~~

~~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 Statues 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 or 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 can not 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; The supervisor of the employee;
2) Members of the General Assembly who may inspect and examine personnel records under the authority of G.S. 120-19; A party by authority of a proper court order may inspect and examine a particular confidential portion of a State employee's personnel file; 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 Unite 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.

FACULTY GOVERNANCE COMMITTEE REPORT

Proposed revision to the *ECU Faculty Manual,*
Part VIII, Responsibilities of Administrative Officers

Remove from Faculty Manual and place in an Administrative Policy Manual.

~~I. Board of Trustees~~

~~East Carolina University has its own board of trustees, consisting of thirteen members chosen as follows: eight elected by the board of governors, four appointed by the governor, and the president of the Student Government Association of East Carolina University. The board of trustees elects from its membership a chairperson, vice chairperson, and secretary. The principal powers of the board of trustees are delegated to it by the board of governors.~~

~~II. Chancellor~~

~~The board of governors elects the chancellor, who is the chief administrative and executive officer of East Carolina University. The chancellor is charged with the responsibility of putting into effect the polices and regulations of the board of governors through the president and the board of trustees. All personnel of the university are responsible either directly or indirectly to the chancellor. Assisting the chancellor in directing the affairs of the university are the vice chancellors for academic affairs, for administration and finance, for health sciences, for institutional advancement, for research, and for student life; the director of athletics; the equal employment opportunity officer; the university attorney; the director of planning and institutional research; and the executive assistant to the chancellor. The responsibilities of these officers and those reporting to them are described below.~~

~~A. Executive Assistant to the Chancellor~~

~~The executive assistant to the chancellor provides assistance in all facets of administration, governance, and communication. In assisting the chancellor in articulating the goals and polices of the university, this officer serves as assistant secretary to the East Carolina University Board of Trustees and supervises the office of News and Communications Services and the office of University Publications.~~

~~B. Assistant to the Chancellor for Constituent Relations~~

~~The assistant to the chancellor for constituent relations has as a primary responsibility the establishing of strong relationships with constituencies external to the university, including the General Assembly, state and local governments, community agencies, and regional groups with interest in or impact on ECU. In assisting the chancellor in this important endeavor, this officer will also act as liaison and staff for the East Carolina University Board of Visitors.~~

~~C. University Attorney~~

~~The office of the university attorney serves as liaison between the university and the office of the Attorney General and the General Administration of The University of North Carolina on legal matters including coordination with the office of the Attorney General on legal advisory opinions prepared by him or her. This office is the central repository for university file copies of documents pertaining to active, pending, or prospective lawsuits against the university. Upon request, the office of the university attorney furnishes legal advice and prepares written legal opinions for the chancellor, vice chancellors, academic deans, department chairpersons, and other administrative officials. In addition, the office prepares legal documents such as release forms, employment contracts, and other legal instruments as required by officials of the administration. The office supervises and periodically reviews hearing and disciplinary procedures administered by the various divisions and departments within the university. The office is responsible for maintaining a legal reference library on North Carolina coast constitutional and statutory provisions with respect to higher education and current subscriptions to specialized legal periodicals and journals dealing with legal problems of higher~~

~~education generally. The office of the university attorney is assigned to and reports directly to the Chancellor.~~

~~Faculty, administrators, and committees may contact the ECU University Attorney's office at any time to obtain information regarding grievance procedures. Aggrieved administrators are entitled to legal counsel from the University Attorney's office, which acts on behalf of the University in such matters. Faculty bringing grievances against other faculty or administrators must seek outside counsel. To ask the University or UNC system to provide substantive advice is to ask same to assist in grieving against themselves. In the case of aggrieved administrators seeking advice, at such time that it becomes apparent that a grievance is pending in which the university attorney or his or her assistant may be involved as legal counsel to that administrator, the attorneys will refrain from discussion of the case in order to ensure that the chancellor can be advised freely in deciding the case. If the university attorneys perceive a potential conflict of interest in advising an administrator, faculty member, or committees, questions will be deferred to UNC system attorneys, or to the state attorney general's office.~~

~~D. Equal Employment Opportunity Officer~~

~~The equal employment opportunity officer, in consultation with the chief administrative officials of the university, takes appropriate measures to ensure the university's compliance with federal and state legal requirements respecting equal opportunity and affirmative action. *See Appendix J, Informal Faculty Grievance Procedures* for grievances involving sex discrimination and other equal employment opportunity complaints, and *Part VI, Equal Opportunity/Affirmative Action policy of East Carolina University.*~~

~~E. Director of Athletics~~

~~Athletic goals of the university are established by the chancellor in coordination with the director of athletics. The director is administratively responsible to the chancellor for all facets of the department's operation. The University Administrative Athletic Committee makes recommendations to the chancellor concerning the implementation and administration of polices and procedures pertaining to intercollegiate athletics at East Carolina University. Primary functions are oversight responsibility in the areas of academic integrity, compliance with NCAA rules and regulations, and the overall development of student athletes. The committee charge includes, but is not restricted to budget, conference matters, fund raising, and public relations. The committee, chaired by the NCAA Faculty Athletics Representative, consists of eight faculty members, one student member, and the following ex-officio: chair of the faculty, president of the alumni association, president of the Pirate Club, chancellor, director of athletics, assistant director of athletics for student development, and the president of the Student Government Association.~~

~~F. Director of Planning and Institutional Research~~

~~The director of planning and institutional research serves as staff to the chancellor and is responsible for facilitating and coordinating the development, implementation and evaluation of the ongoing strategic plan that covers all functions and major resources of the university. The director is also responsible for directing the institutional research function, which includes the design, development, and use of various data bases and management support systems necessary for institutional analysis, planning, budgeting, and internal and external reporting. All of the above activities are carried out via cooperation and coordination with faculty governance and the divisional vice chancellors.~~

~~G. Faculty Senate~~

~~The Faculty Senate is comprised of representatives from all academic faculty units on campus. It provides the means by which the faculty fulfill its function with respect to academic and educational policies and other affairs of the University. The office of the Faculty Senate oversees the *East Carolina University Faculty Manual*. See *Appendix A, Faculty Constitution and By-Laws of ECU.*~~

III. Division of Academic Affairs

A. Vice Chancellor for Academic Affairs

The vice chancellor for academic affairs is responsible to the chancellor of the university for policy and operations relating to all academic aspects of the university, except those of the Division of Health Sciences. The vice chancellor also coordinates the activities of the academic and support units described below. The vice chancellor administers policies of class attendance and academic discipline, approves departmental requisitions for purchase of instructional supplies and equipment, and assigns all classrooms and office space allocated for instructional purposes. In addition, the academic affairs officer is responsible for the editing and publication of the university undergraduate and graduate catalogs, and similar official bulletins. Those officers reporting to the Vice Chancellor for Academic Affairs are listed in *Part IX, Organization Chart for East Carolina University.* Some of the responsibilities of those officers are described below.

B. Unit Administrators

The dean of the College of Arts and Sciences, deans of the professional schools within the academic division, and the department chairs in the College of Arts and Sciences are responsible for instruction and research within their areas. They are appointed by the chancellor and are responsible to the vice chancellor for academic affairs. The chairpersons of departments within the College of Arts and Sciences and the professional schools report to their respective deans and use the ECU Faculty Manual and the unit's code procedures. The unit administrators preside at faculty meetings, can appoint ad hoc committees, assist with the orientation of new faculty members, act on requests for travel funds, and lead the faculty in promoting professional growth and good public relations. The duties of the dean of the College of Arts and Sciences, deans of the professional schools within the academic division, and departmental chairs in the College of Arts and Sciences are described in the following paragraphs. (In some units, the elected faculty chair can preside at faculty meetings.)
(Faculty Senate Resolution #98-6, February 1998)

1. Budget and Equipment

The unit administrator recommends the college, school, or department operating budget and supervises expenditures of allocated funds. The dean or chairperson is responsible for maintaining a current inventory of and caring for departmental equipment, for reporting to the business office breakage and needed repairs, and for approving requisitions for book purchases for the library.

2. Curriculum and Instruction

The unit administrator works with the faculty in planning and recommending changes in and additions to the curriculum; visits classes and counsels with the faculty to evaluate the quality of instruction; prepares teaching schedules, is responsible for all classes being met, and arranges for substitute instructors in case of emergencies; recommends the use of classroom, laboratory, and office areas; keeps records of personnel and files of course syllabi; and makes an annual report of the college, school, or department to the appropriate superior.

3. Personnel

The unit administrator reviews recommendations of the appropriate unit committees on faculty appointment, reappointments, tenure, and promotion in relation to the provisions noted in *Appendix C, Personnel Policies and Procedures for the Faculty of ECU* and *Appendix D, Tenure and Promotion Policies and Procedures of ECU.*
The unit head concurs or does not concur and forwards the recommendations to the next higher administrator.

C. Dean of the Office of Undergraduate Studies

The dean of the office of Undergraduate Studies reports to the vice chancellor for Academic Affairs and is responsible for the functioning of the General College, the University College, the Office of Cooperative Education, the transfer course permission approval program, the

~~Academic Transition Program, the general education assessment program, and other academic support programs as designated by the vice chancellor for academic affairs. The dean is responsible for the administration of undergraduate academic regulations as presented in Section 5 of the undergraduate catalog. Additionally, the dean serves as associate director, new student academic orientation. The dean is assisted in the administration of the office of Undergraduate Studies by the assistant dean for the General College, the associate director for student academic support services, the associate director of the University College, and the director of cooperative education.~~

~~D. Director of Academic Library Services~~

~~The director of the Academic Services is responsible for providing library services in support of academic programs. The director is advised by the Faculty Senate Academic Libraries Committee and the Academic Library Services faculty and cooperates with the various schools and departments through appropriate deans and chairpersons. The Director is responsible for administrative direction and fiscal control of Joyner Library and the Music Library in the Fletcher Music Center, which is an integral part of Joyner Library; for collection development; and for library property and buildings. The director recommends the appointment of all library personnel and fixes titles, duties, and compensation of all library staff members within approved budgetary limits. The library staff consists of library faculty and support personnel. The director is assisted in the conduct of duties by the advice of the Faculty Senate Academic Libraries Committee.~~

~~E. Director of Admissions~~

~~The admissions office, administered by a director, aided by a professional and a clerical staff, is charged with responsibility for all undergraduate admissions throughout the university. In this capacity, the director serves as an advocate for retention and monitors the effects of a variety of university retention efforts. Additionally, the director develops an admissions strategy which, when coordinated with the results of retention efforts, will generate an undergraduate enrollment consistent with the enrollment goal of the university. The office processes applications for admission to the freshman class and applications of students desiring to transfer from other colleges and universities as well as applications for readmission. The office is also responsible for developing and implementing the marketing strategies used to attract these student populations. The director is assisted in the conduct of duties by the advice of the Faculty Senate Academic Admissions and Recruitment Committee. The director of admissions is also responsible for editing and producing admissions publications. (Admission to graduate programs is the responsibility of the Graduate School.)~~

~~F. Director of the BB&T Center for Leadership Development~~

~~The director of the BB&T Center for Leadership Development is responsible for planning, promoting, and administering leadership development activities relevant to a broad coalition of interests in the professional and managerial fields. Specifically, the director is charged with positioning the center in the forefront among those interested in strengthening and focusing on leadership as an important dimension in society worthy of instruction and research.~~

~~G. Director of Cooperative Education~~

~~The director of cooperative education is responsible for the coordination of activities related to the placement of both graduate and undergraduate students in alternating periods of career-related employment. This responsibility involves working with both public and private agencies throughout the United States to develop appropriate employment opportunities, communicating with faculty to identify qualified students, and counseling and supervising students throughout the recruitment, selection, and evaluation process.~~

~~H. Director of the Division of Continuing Education and Summer School~~

~~The director of the Division of Continuing Education and Summer School is responsible for off-campus classes and for specialized non-credit vocational, professional, and cultural courses wherever offered. The division provides this instruction on the campuses of four community colleges and at various locations throughout eastern North Carolina. The director, aided by an associate director, an assistant director, several coordinators, and a business officer, works~~

with deans and chairpersons of academic departments in determining suitable courses to be offered through continuing education, the location of courses, and the assignment of teaching staff. The director oversees the editing and publication of various bulletins describing the educational opportunities made available by East Carolina University through the Division of Continuing Education. The director also administers the summer school program. The director is assisted in the conduct of duties by the advice of the Faculty Senate Academic Continuing Education Committee.

I. Director of the Honors Program

The director of the honors program coordinates the freshman/sophomore level, university-wide program offered to superior students. The director is in charge of planning the curriculum, soliciting the faculty, recruiting qualified students to participate, and implementing the policies outlined by the Faculty Senate Academic Honors Program Committee.

J. Director of International Programs

The director of international programs is responsible for administering university international programs and activities and for promoting all aspects of internationalizing the university. In carrying out this responsibility, the director works with the International Programs Faculty Advisory Council in establishing a strategic plan and identifying the foci for international activities most beneficial to the university, seeks to acquire external funding for international activities, develops affiliations with international universities and other agencies, develops and promotes university study-abroad programs, and identifies highly qualified appointees to the Thomas W. Rivers Endowed Chair in International Studies. Two coordinators report to the director: the International Student Exchange Program (ISEP) coordinator, who is responsible for publicizing, recruiting for, and administering ISEP; and the study-abroad/National Student Exchange coordinator, who is responsible for publicizing, recruiting for, and administering the NSE and ECU study abroad and exchange programs.

K. Registrar

The registrar, aided by the associate registrar, supervisory personnel, and a clerical staff, supervises the central records office, plans and executes registration of students each semester and summer session, assigns classroom space for classes and meetings, issues grades at the end of each semester and summer session, issues transcripts, mails diplomas to graduating students, and maintains a computerized student data base.

L. Administrative Council

The Administrative Council, convened by the Chancellor, includes the Chancellor, and designated members of the Chancellor's staff, the Vice Chancellors and designated members of their staffs, the deans, and directors with academic or public affairs missions. The Council meets monthly, often hosted by the respective deans, to discuss matters of importance to the administration of East Carolina University and to advise the Chancellor on such matters.

M. Leadership Forum

The Leadership Forum, convened by the Chancellor, includes the membership of the Administrative Council, other members of the University administration deemed appropriate by the Chancellor, and representation of the faculty by the Chair of the Faculty. The Forum normally meets three times each semester and once during the summer months to discuss matters of importance to the leadership of East Carolina University and to advise the Chancellor on such matters.

IV. Division of Administration and Finance

A. Vice Chancellor for Administration and Finance

The board of trustees of the university has directed that all business functions for operation of the university be the responsibility of the chief business officer, who has the title of vice chancellor for administration and finance and who is responsible to and under the general supervision of the chancellor. This officer plans, directs, and coordinates all business affairs of the university for organization and supervision of fiscal and budgetary operations, personnel administration, public safety, computing and information, environmental health and safety, and systems accounting. The vice chancellor for administration and finance also plans, directs,

and supervises the preparation of all budgets for review and adoption by the chancellor and board of trustees to be submitted to the Board of Governors of The University of North Carolina and Department of Administration and further reviewed by the Advisory Budget Commission for recommendation to the state legislature. Budget preparation includes such factors as present operating costs; estimated receipts; operating expenses due to expansion of physical plant, enrollment, and costs of utilities and service contracts; requests for new programs, expanded services, salaries and additional faculty to reduce the student-faculty ratio, and requests for capital improvements. Those officers reporting to the Vice Chancellor for Administration and Finance are listed in *Part IX, Organization Chart for East Carolina University.* Some of the responsibilities of those officers are described below.

B. Comptroller

The comptroller plans, directs, and supervises all accounting and budget functions related to the fiscal operation of the university, including appropriated funds, grants, auxiliaries, student funds, trust funds, and foundations. This office maintains internal controls to ensure sound fiscal policy.

C. Director of Computing and Information Systems

The director, reporting to the vice chancellor for administration and finance, leads planning and development of information systems and resources. This officer receives guidance from the Information Resources Coordinating Council regarding formulation, interpretation and implementation of university information and data management policy. The director manages various information resources, including the computing center staff, the computing equipment, the broadband communications network, and the telecommunications systems.

D. Director of Environmental Health and Safety

The environmental health and safety director is responsible for the overall planning and implementation of the safety and health programs for the university in conformity with the Occupational Safety and Health Act (OSHA) of North Carolina, the Environmental Protection Agency, and other state and federal regulations.

E. Director of Human Resources

The human resources director plans, directs, coordinates, and administers the university personnel program involving recruitment, employee relations, counseling, interviewing, selection, transfer, promotion, recommendation of salaries, classification of non-faculty personnel, and training and staff development. The director also interprets applicable policies and regulations to provide an efficient and effective work force for operation of the university.

F. Director/Chief of Police

The director/Chief of Police is responsible for the university's police department. The police functions include the safety and protection of students, staff, and visitors as well as the buildings and other properties on the campus.

G. Director of Systems Coordination

Systems accounting serves as a liaison between the automated financial system users and the programmers of those systems. This department also completes specialized projects on behalf of the vice chancellor for administration and finance.

V. Division of Health Sciences

A. Vice Chancellor for Health Sciences

The vice chancellor for health sciences is responsible to the chancellor of the university for policy and operations relating to all academic and clinical aspects of the university, except those of the division of academic affairs. The vice chancellor also coordinates the activities of the academic and support units described below. The vice chancellor administers policies of class attendance and academic discipline, approves departmental requisitions for purchase of instructional supplies and equipment, and assigns all classrooms and office space allocated for instructional purposes. In addition, the health sciences officer is responsible for the editing and publication of the official bulletins and catalogs pertaining to the division and/or

components. Those officers reporting to the Vice Chancellor for Health Sciences are listed in *Part IX, Organization Chart for East Carolina University.* Some of the responsibilities of those officers are described below.

B. Unit Administrators

The deans of the professional schools of Allied Health, Nursing and Medicine are unit administrators in all incidences except for those pertaining to Appendix D. , in which case the department chair is the unit administrator. The dean is responsible for instruction, research and association with the Eastern Area Health Education Center. Additionally, the dean of the School of Medicine is responsible for the Medical Faculty Practice Plan. The deans within the Health Sciences Division are appointed by the chancellor and are responsible to the vice chancellor for Health Sciences. As unit administrators, the deans preside at faculty meetings, can appoint ad hoc committees, assist with the orientation of new faculty members, act on requests for travel funds, and lead the faculty in promoting professional growth and good public relations. The duties of the deans of health sciences are described in School Codes and in the Faculty Manual, Part VIII, III, B1-3. (In some units, the elected faculty chair can preside at faculty meetings.) (Faculty Senate Resolution #98-6, February 1998)

C. Director of Health Sciences Library

The director is responsible for the budget, policies, programs, and long-range planning for the Health Sciences Library. Library services are provided to students and faculty in the Schools of Allied Health Sciences, Medicine, and Nursing and to physicians and other health providers in the local community and throughout eastern North Carolina. The library is strongly involved in student educational programs which foster computer literacy. In addition, the director has responsibility for appointments, promotion, tenure, and other matters pertaining to the library's faculty. The director of the Health Sciences Library reports to the vice chancellor for health sciences. The director is assisted in the conduct of duties by the advice of the Faculty Senate Academic Libraries Committee.

II. Division of Institutional Advancement

A. Vice Chancellor for Institutional Advancement

The primary function of the vice chancellor for institutional advancement is to facilitate greater public understanding and awareness of the purposes and achievements of the university and to generate additional non-appropriated resources from individuals, corporations, foundations, and governmental agencies to improve the quality and status of the academic programs of East Carolina University. Offices reporting to the vice chancellor include institutional advancement, alumni relations, Regional Development Institute, the Center for Applied Technology, and the Small Business and Technology Development Center. Those officers reporting to the Vice Chancellor for Institutional Advancement are listed in *Part IX, Organization Chart for East Carolina University.* Some of the responsibilities of those officers are described below.

B. Assistant to the Vice Chancellor for University Relations and Alumni Affairs

The assistant to the vice chancellor directs a comprehensive alumni affairs program and holds the title of executive secretary of the ECU Alumni Association, Inc. In addition to assisting with the duties of the vice chancellor, the assistant represents the formal link to the university for former students and seeks to develop a relationship with them conducive to the support of the university's programs. The assistant also plans and implements programs to encourage involvement from alumni through volunteer efforts and gifts of financial resources.

C. Director of Institutional Advancement

The director of institutional advancement provides managerial direction and coordination for the fund raising activities conducted by academic and administrative units of the university. As part of this responsibility, the director provides guidance and supervision to the directors of the Chancellor's Society, the annual giving, planned giving, parents, gift records, and research programs. Annual giving involves telephone, direct mail, and personal solicitation of alumni and other friends of the university. The Planned Giving Program concentrates on

development of deferred gifts and endowments. The Parents Program seeks to personalize the university experience for those whose students are enrolled at the university and to encourage their financial support of the institution.

D. Director of Small Business & Technology Development Center

The director of the Small Business & Technology Development Center is responsible for providing high quality, substantive consultative services to small businesses, both start-up and operational; providing management and technical assistance services, developing and coordinating local resources; conducting research as necessary; developing and conducting appropriate training; delivering special emphasis programs as directed by the state headquarters; and providing advice and counsel to support greater economic development and job creation within the assigned region.

E. Director of the Center for Applied Technology

The director of the Center for Applied Technology is chief administrative officer of the center, makes regional businesses and industries aware of university resources, assists businesses and industries in defining specific needs, designs, programs, and identifies faculty consultants to address work place needs, supervises and evaluates consulting services, establishes operational procedures, and plans the development of the center. The director has responsibility for the center's financial security and works with the advisory board of directors and the faculty.

F. Director of the Regional Development Institute

The director of the Regional Development Institute is assisted by development specialists in the fields of marketing, industrial development, community development, international services, resource development, land-use planning, environmental regulations, research analysis, and management and financial counseling. The institute, using its own capabilities and resources, as well as those of the university, engages in applied research related to the development of eastern North Carolina. In addition to its functions sponsored by the university, the institute undertakes research and development projects for industry, governmental agencies, foundations, and private groups.

VII. Division of Student Life

A. Vice Chancellor for Student Life

The Division of Student Life actively supports the university's mission of education, research and service by providing comprehensive programs and services to assist each student to develop intellectually, socially, and culturally. The division promotes this development by fostering a community of learning which encourages individual student involvement and participation. The Division of Student Life provides a broad range of support services, activities, and programs which seek to enhance learning; accommodate the diverse needs of all students; assist students in meeting their basic needs for financing, housing, nutrition, and physical and mental health; provide the means for students to become active participants and leaders in their own learning; assist students in developing logical thought processes and sound decision-making skills; and assist students in developing an appreciation of the arts. Moreover, the division seeks to contribute to the development of the whole individual by fostering in each student a deeper appreciation of the importance of life-long learning, individual responsibility, and human diversity. Those officers reporting to the Vice Chancellor for Student Life are listed in *Part IX, Organization Chart for East Carolina University.* Some of the responsibilities of those officers are described below.

B. Assistant Vice Chancellor and Director of Intercultural Student Affairs

The assistant vice chancellor and director of the office of Intercultural Student Affairs is responsible to the vice chancellor for student life for designing programs and activities that meet the personal, social, and academic needs of intercultural students. The director is also responsible for assisting all students in their understanding and appreciation of people and cultures different than their own.

C. Assistant Vice Chancellor and Director of Research, Assessment, and Testing

The assistant vice chancellor and director of the office of Research, Assessment, and Testing reports directly to the vice chancellor for student life and its responsible for conducting appropriate University-wide assessments of students' needs and outcomes, coordinating the assessment of program effectiveness for the division, and disseminating research findings to l internal and external publics. The director collaborates with the office of Planning and l institutional Research and other departments across the University to enhance the educational experiences of the students. The director is responsible for the supervision of the University Testing Center which administers national testing program examinations, professional and state licensing examinations, and individual tests such as correspondence exams.

D. Dean of Students

The dean of students has direct responsibility for the administration of program planning, budgeting, and evaluation of the campus judicial system. The dean advises student judicial boards; serves as adviser to the fraternity system; administers university excuses, withdrawals, and campus canvassing and soliciting policies; coordinates and supervises parents' day; supervises professional staff responsible for university unions and student activities, intramurals, recreation and leisure services, student leadership programs, and the social sorority system. The dean of students assumes responsibility for the Division of Student Life in the absence of the vice chancellor for student life.

E. Dean of Student Development

The dean of student development reports directly to the vice chancellor for student life and is responsible for the direction of a comprehensive student development program. Reporting directly to the dean are the Counseling Center, Career Services, orientation, resident education, the office of Health Promotion and Wellness, and the office of Student Development for Special Populations (disabled students, international students, minority students, nontraditional students, and commuter students).

F. Assistant Dean of Student Development

The assistant dean of student development is director of special populations. He or she serves as international student adviser; coordinator of off-campus housing, commuter services, and nontraditional student services; and supervises the coordinator of handicapped student services and the director of the Program for the Hearing Impaired.

G. Director of Career Services

The office of Career Services maintains credential files on all who register with the service. Registration is open to all East Carolina University seniors and graduate students in the last academic year of study. Registrants' resumes which are in the active files are available to employers. Upon request by the student or by the employer, a registrant's credentials will be sent to the employer. Registrants are also eligible for interviews with recruiters who visit the campus each semester. The director oversees job search workshops including career information seminars, interviewing skills development, and resume writing techniques, which are regularly scheduled in the office and in various units across campus. The director works with career education coordinators, who are appointed in each academic department to coordinate and assist with career-related activities in their respective areas.

H. Director of the Center for Counseling and Student Development

The director of the Center for Counseling and Student Development administers programs and services offered by the student Counseling Center. The director is responsible for supervising professional and support staff activities, establishing center priorities and goals, and evaluating staff efficiency. The director encourages and promotes development of collaborative working relationships with academic departments and schools as well as other units within student life in order to strengthen and promote student development activities. The major role of the Counseling Center is to provide the best counseling support services (assessment, counseling, referral) for students while they are enrolled at the university. Services are directed toward student development in the areas of responsible living and positive coping skills. This is accomplished through provision of individual counseling, a

variety of developmental and support groups, guest lectures on mental health issues, and consultation with faculty and staff regarding student issues.

I. Director of Dining Services

The department of Dining Services offers a comprehensive food service program for students, faculty, and staff, as well as an extensive catering and summer conference program. The director of Dining Services, who is the administrator of the dining services contract, has overall responsibilities for services in all dining areas; for maintenance of the computerized meal plan access control system; for marketing and advertising, student surveys, public relations, and special promotions; for fiscal control with monthly operating reports, budgets, and audits; and for long-term planning including dining hall renovations, equipment replacement, and facility expansion projects.

J. Director of Disability Support Services

The director of the department of Disability Support Services oversees the various components which allow students with disabilities to access the programs and services of the University. The coordination of interpreting services, alternative testing, barrier removal, assistive technology, and student counseling are aspects of the position which directly impact students. Outreach to faculty and the community regarding students with disabilities is also critical. Both Spring and Fall graduation ceremonies are coordinated by the Director.

K. Director of Health Promotion and Well-Being

The director of Health Promotion and Well-Being is primarily responsible for the development and provision of knowledge and skill based programs in the health and well-being areas. These areas include, but are not limited to, programs and workshops addressing the use and abuse of alcohol and other drugs, plus physical, nutritional, and emotional well-being. The director coordinates health promotion and well-being programs for departments within the division of Student Life and the University and chairs of the DSL Coordinating Committee for Campus Well-Being.

L. Director of Ledonia Wright African-American Cultural Center

The director of Ledonia Wright African-American Cultural Center is responsible for the day-to-day operations of the Center as well as developing and implementing comprehensive educational, cultural, and social programming and all support services within the Center. The director oversees budgeting, planning, selecting, promoting, presenting, and evaluating events sponsored by the Center. The director is responsible for policy development, procedures, and formulating goals. He/she also engages in extensive planning of programs, community outreach, conducts workshops, training seminars, and lecture presentations and assists with research and assessment .

M. Director of Orientation and the First Year Experience

The director of student orientation directs, coordinates, and supervises the development and implementation of the New Student Orientation Program for the university. With assistance of virtually all departments within the university community, the director provides academic and student life information for all new students. Also, the director is responsible for the Parent Orientation Program, during which information from academic affairs, student life, administration and finance, and institutional planning is provided to parents of new students. As coordinator of The Freshman and the University Program, the director is primarily responsible for developing, teaching, and coordinating the orientation course, COAD 1000. The director also acts as academic adviser for the General College and counsels students.

N. Director of Recreational Services

The director of recreational services is responsible for providing an extensive offering of recreational programs and services for the university's students, faculty, and staff. With assistance from SPA and EPA staff, the director plans, administers, and supervises departmental programs, which include men's, women's, and co-recreational intramural sports activities, drop-in informal recreation, club sports, physical fitness programs, equipment check-out services, outdoor recreation, new adventures program, non-credit instructional classes, sports care services, and recreational services for handicapped students. The director is also

responsible for formulation and implementation of program policy, budget administration and management, public relations, university liaison, and supervision and evaluation of programs and staff.

O. Director of Resident Life

The director of resident life is responsible for the planning and coordination of the student life program within the residence hall system. With the assistance of professional and paraprofessional staff, this office is responsible for the interpersonal and academic well-being of all residential students. This is accomplished through policies which enhance community development, through programs and activities to meet the developmental needs of students, and through structured, comprehensive disciplinary procedures. The director is also responsible for budgeting and administration, liaison with other departments and public relations, as well as the supervision, recruitment, evaluation, and training of all staff. In addition, the department provides student leadership development through support of the Residence Hall Association and individual hall councils.

P. Director of Student Financial Aid

The director of Student Financial Aid administers the various programs which are available to provide financial assistance to students. The director and staff are responsible for the counseling of students about their budget expenses and financial aid opportunities, for the evaluation of financial aid applications, and for the allocation of resources to students who are to receive assistance. The director is assisted in the conduct of duties by the advice of the Faculty Senate Academic Student Scholarships, Fellowships, and Financial Aid Committee.

Q. Director of the Student Health Services

The director of the Student Health Service is charged with the responsibility of overseeing the health care provided for the East Carolina University student body. He or she directs the operation of the Student Health Center's staff and the delivery of quality health care within a budget funded by student health fees. The director is charged with supervising and encouraging the delivery of health education at the Student Health Center in informal discussions, group non-credit discussions on campus, and formal academic lectures upon request of the instructor. The Student Health Center offers comprehensive ambulatory health care, providing the ECU student with a convenient source for help with health problems.

R. Director of University Housing Services

The director of university housing services is responsible to the vice chancellor for student life for providing high quality housing for on-campus students. High quality housing mandates extensive planning for major renovations to meet the needs of changing student development programs. Through planning, supervision, and organization, the director is responsible for budget administration and management; coordination of all maintenance, repairs, and renovations of residence halls; contracting and assigning housing for students; and student services which include safety and security, fire safety, and auxiliary services of food handling, laundry facilities, mail delivery, and the communications systems.

S. Director of University Unions

The director of university unions, adviser to the Student Union, and co-adviser to the Student Government Association. Under the supervision and direction of this officer, the staff of the department of University Unions coordinates professional entertainment and cultural events at the university, the university central reservations office, the university ID card system, and public-sponsored events presented on campus. The assistant vice chancellor is responsible for negotiating and signing all contracts relative to campus activities.

VIII. Division of Research

A. Vice Chancellor for Research

The vice chancellor for research has dual responsibility for graduate programs and research. These responsibilities are carried out through the activities of staff members in the Graduate School office, the office of Sponsored Programs, and the office of Technology Transfer. The vice chancellor for research/dean of the Graduate School is responsible for the operation of these offices including fiscal management and reporting. The vice chancellor for

~~research/dean of the Graduate School also provides administrative oversight for several programs which are primarily research or with a substantial cross disciplinary research component including the Institute for Coastal and Marine Resources and the Center on Aging. Those officers reporting to the Vice Chancellor for Research are listed in *Part IX, Organization Chart for East Carolina University.* Some of the responsibilities of those officers are described below.~~

~~B. Dean of the Graduate School~~

~~At present, the vice chancellor for research also serves as the dean of the Graduate school. The Graduate school is responsible for admission of students and provides academic oversight for all post-baccalaureate degree program tracks (excluding MD degrees) by the implementation and execution of polices, rules, regulations, and procedures established by the graduate faculty and the Graduate Council. The dean works closely with the members of the graduate faculty through the Graduate Council and its committees as the chief executive officer of the Graduate School and chairperson of the graduate faculty and Graduate Council. The dean is also responsible for advising and assisting schools and departments in the planning, development, and implementation of new graduate programs and for coordinating with the general administration of The University of North Carolina all new program proposals advanced by schools and departments. See *Appendix F, Graduate School Organization.*~~

~~C. Director of the Center on Aging~~

~~The director of the Center on Aging administers the research and service programs of the center and coordinates the university's gerontology minor.~~

~~D. Director of the Institute for Coastal and Marine Resources~~

~~The director of the Institute for Coastal and Marine Resources administers the various research programs of the institute and coordinates the university's coastal marine studies minor.~~

~~E. Director of the Office of Sponsored Programs~~

~~The director of the office of Sponsored Programs is responsible for all pre-award activity involved in preparation of grants, contracts, and memorandums of understanding and for their submission on behalf of the university to external agencies for faculty projects. The director is responsible for the administration of this office in support of faculty activity in securing external funding for programs supporting research and creative activities, training, and service. It reports sponsored program activity and ensures compliance with policies and guidelines of the State of North Carolina and The University of North Carolina General Administration as well as state, federal, and private funding agencies. It provides informational and educational programs and strategies which enhances the ability of faculty to compete successfully for external funds to support research, training, and service programs on campus. See *Part VII, Research Information.*~~

~~F. Director of the Office of Technology Transfer~~

~~The director of the Office of Technology Transfer is responsible for the management of the transfer process of inventions and discoveries from the university to the private and public sectors. Such responsibilities include receiving all confidential disclosures, assessing patent potential, drafting licensing agreements, and handling marketing initiatives for selected intellectual properties.~~

Faculty Senate Agenda
March 30, 2010
Attachment 14.

FACULTY GOVERNANCE COMMITTEE REPORT
Additional Proposed revisions to the *ECU Faculty Manual*,
Appendix I. Policy on Conflicts of Interest and Commitment

(Proposed revisions from Faculty Senate Resolutions #09-50 are noted in **bold** print and deletions are noted in ~~strikethrough~~. Additional suggested editorial revisions from Chancellor Ballard (Chancellor's response) are noted in **red.**)

Revise and keep in the Faculty Manual.

APPENDIX I
EAST CAROLINA UNIVERSITY POLICY ON CONFLICTS OF INTEREST AND COMMITMENT **AND EXTERNAL ACTIVITIES OF FACULTY AND OTHER PROFESSIONAL STAFF**

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~~D. Report of Potential Conflicts of Interest Related to Teaching and Ownership of Intellectual Property.~~
~~E. Notice of Intent to Engage in External Professional Activities for Pay.~~

I. Introduction, **Applicability, and Responsibility for Compliance**
~~Effective July 1, 1995, a~~All EPA faculty members and ~~other professional~~ Non faculty EPA staff of East Carolina University are subject to revised policies concerning conflicts of interest and conflicts of commitment affecting University employment and external professional activities. This policy covers full-time faculty and EPA non-faculty employees, part-time faculty and EPA non-faculty employees, **(those UNC employees who are not subject to the State Personnel Act – hereinafter referred to as 'EPA employees')**. ~~insofar as their University responsibilities are concerned, and faculty and EPA non-faculty employees who are on leave if the leave is funded at least partially from University sources. The revised ECU policies are~~ **This policy is** based on policies and guidelines adopted by

the UNC system Board of Governors**, federal and state law,** and federal agency **sponsor** requirements. Any questions regarding these procedures or the Board of Governors' policies upon which they are based should be directed to the ~~appropriate divisional vice chancellor~~ **ECU Office of Research Compliance Administration.**

~~II. The Concepts at Issue~~

~~The distinction between conflicts of interest and commitment is not always clear. In general, conflict of commitment relates to allocation of time and should become apparent in the annual review process conducted by the administrative superior. Conflict of interest involves matters which might unduly influence employee judgment in the conduct of employee affairs, such that personal financial advantage is or might be unduly gained.~~

~~More specifically, conflict of interest occurs when related personal considerations, e.g., employment of a spouse, potentially compromise the faculty or professional staff member's objectivity in fulfilling University duties or responsibilities, including research activities. Conflict of commitment occurs when the pursuit of outside activities involves an expenditure of time that potentially interferes with the faculty or professional staff member's obligations to students, to colleagues, and/or to the missions of the University.~~

II. Definitions

A. ***Business*** **means any corporation, partnership, sole proprietorship, firm,** franchise, association, organization, holding company, joint stock company, receivership, business or real estate trust, or any other legal **entity organized for profit, not-for-profit, or charitable purposes. "Business" excludes University-related entities, which is inclusive of the University, and any private medical practice or any other entity controlled by, controlling, or under common control with the University or with which the University has a contractual relationship for the purpose of providing patient care.**

B. ***Conflict of commitment*** **relates to an individual's distribution of effort between obligations to his or her University employment and participation in activities outside of University employment. The latter may include such generally encouraged extensions of professional expertise as professional consulting. A conflict of commitment occurs when the pursuit of such outside activities involves an inordinate investment of time that interferes with the EPA employee's obligations to students, to colleagues, and/or to missions of the University.**

C. *Conflict of interest* relates to situations in which financial or other personal considerations may compromise, may involve the potential for compromising, or may have the appearance of compromising an EPA employee's objectivity in fulfilling University duties or responsibilities, including research activities.

D. ***"Executive Position"*** **refers to any position that includes responsibilities for a material segment of the operation or management of a business, including Board membership.**

E. ***External professional activities for pay*** **means any activity that 1) is not included within one's University employment responsibilities; 2) is performed for any entity, public or private, other than the University employer; 3) is undertaken for compensation; and 4) is based upon the professional knowledge, experience and abilities of the EPA employee. Activities for pay not involving such professional knowledge, experience and abilities are not subject to advance disclosure and approval requirements of this Policy, although they are subject to the basic requirement that outside activities of any type not result in neglect of primary University duties, conflicts of interest, inappropriate uses of the University name or resources, or claims of University responsibility for the activity.**

F. ***Department*** **means an academic department, a professional school without formally established departments, or any other administrative unit designated by the chancellor**

of an institution or by the president for the office of General Administration, for the purposes of implementing this policy.

G. The "*Immediate Family*" of a faculty or EPA non-faculty employee includes his or her spouse, dependent children and/or other dependent(s) as defined in the Internal Revenue Code.

H. *Inappropriate use or exploitation of University resources* means using any services, facilities, equipment, supplies, or personnel that members of the general public may not freely use. A person engaged in professional activities for pay may use, in that connection, his or her office and publicly accessible facilities such as University libraries; however, an office shall not be used as the site for compensated appointments with clients, e.g., for counseling or instruction. Under no circumstances may a supervisory employee use the services of a supervised employee during University employment time to advance the supervisor's external professional activities for pay.

I. "*Participate*" means to be part of the described activity in any capacity, including but not limited to serving as the principal investigator, co-investigator, research collaborator or provider of direct patient care. The term is not intended to apply to individuals who provide primarily technical support or who are purely advisory, with no direct access to the data (e.g., control over its collection or analysis) or, in the case of clinical research, to the trial participants, unless they are in a position to influence the study's results or have privileged information as to the outcome.

J. *Significant Financial Interest* has the same meaning as in 42 C.F.R. 50.603 as it currently exists and as it may later be amended. This provision of the Code of Federal Regulations defines a Significant Financial Interest to mean: anything of monetary value, including, but not limited to, salary or other payments for services (e.g., consulting fees or honoraria); equity interests (e.g., stocks, stock options or other ownership interests); and intellectual property rights (e.g., patents, copyrights and royalties from such rights). The term does not include:

   1. Salary, royalties, or other remuneration from the applicant institution;
   2. Any ownership interests in the institution, if the institution is an applicant under the Small Business Innovation Research Program (SBIR);
   3. Income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities;
   4. Income from service on advisory committees or review panels for public or nonprofit entities;
   5. An equity interest that when aggregated for the Investigator and the Investigator's spouse and dependent children, meets both of the following tests: Does not exceed $10,000 in value as determined through reference to public prices or other reasonable measures of fair market value, and does not represent more than a five percent ownership interest in any single entity; or
   6. Salary, royalties or other payments that when aggregated for the Investigator and the Investigator's spouse and dependent children over the next twelve months, are not expected to exceed $10,000.

K. "*Sponsored Programs*" means research, public service, training and instructional projects involving funds, materials, or other compensation from outside sources under grants, contracts, or cooperative agreements.

L. "*Technology*" means any process, method, product, compound, drug, device, or any diagnostic, medical, or surgical procedure developed using University time, facilities, equipment, or funds whether intended for commercial use or not.

M. *University employment responsibilities* include both "primary duties" and "secondary duties." Primary duties consist of assigned teaching, scholarship, research,

institutional service requirements, and other assigned EPA employment duties. Secondary duties consist of professional affiliations and activities undertaken by EPA employees outside of the immediate University employment context that redound to the benefit of the profession and to higher education in general. Such endeavors, which may or may not entail the receipt of honoraria (See also UNC Policy Manual 300.2.2.2[R]) or the reimbursement of expenses, include membership in and service to professional associations and learned societies; membership on professional review or advisory panels; presentation of lectures, papers, concerts or exhibits; participation in seminars and conferences; reviewing or editing scholarly publications and books; and service to accreditation bodies. Such integral manifestations of one's membership in a profession are encouraged, as extensions of University employment, so long as they do not interfere with the timely and effective performance of the individual's primary University duties.

The goal of this policy is to ensure that all ~~potential~~ conflicts of interest or commitment are disclosed so that appropriate administrative interventions may eliminate, avoid, or manage them. These policies, however, are not intended to limit responsible external activities.

III. Policies

A. Conflict of Interest

~~It is the policy of the University that~~ ~~faculty and~~ EPA ~~non-faculty~~ **employees** shall avoid conflicts of interest that ~~have the potential to affect adversely the University's interests, to compromise objectivity in carrying out University responsibilities, or otherwise to compromise the performance of University responsibilities.~~ **compromise, may involve the potential for compromising, or may have the appearance of compromising the EPA employee's objectivity in fulfilling University responsibilities, including research activities.** Accordingly, outside activities and financial interests must be disclosed **by EPA employees** on an annual basis. ~~Disclosures must be updated when new external interests develop.~~ **This notwithstanding, EPA employees have a continuing obligation to timely update these disclosures as new external interests develop.** Outside activities and financial interests should be arranged to avoid such conflicts. ~~Related policies are also discussed in the ECU Faculty Manual, Part VII. Research Information.~~

B. Conflict of Commitment

~~It is the policy of the University that faculty and~~ EPA ~~non-faculty ee~~employees shall devote their primary professional loyalty, time, and energy to their ~~teaching, research, service, and, where applicable, patient care at the~~ University **employment responsibilities, including research activities**. ~~Accordingly,~~ ~~outside activities and financial interests must be arranged to avoid interference with the primacy of these commitments. Policies and Procedures for those potential conflicts of commitment situations that do not involve conflict of interest are discussed in the ECU Faculty Manual, Part VI, General Personnel Information. The policy on External Professional Activities of Faculty and Other Professional Staff should be used for these potential conflicts of commitment~~ **situations.** **Accordingly, EPA employees shall not engage in activities outside of their employment that involves an inordinate investment of time that interferes with the EPA employee's obligations to students, to colleagues, and/or to missions of the University. Such activities are unacceptable outside activities. Conflicts of commitment may also arise in connection with non-compensated activities and a conflict of commitment may exist notwithstanding that an EPA employee received no economic benefit from the outside activity. The issue, in each case, is whether the employee is meeting the requirements of the job (as such responsibilities and requirements may be defined by applicable University policy and as may be further described in an individual's job description or appointment letter).**

The policy on External Professional Activities of Faculty and Other Professional Staff should be used for these potential conflicts of commitment situations.

Although full-time faculty and other EPA employment is not amenable to precise, time-clock analysis and monitoring, administrators at the department and school levels are charged with the evaluation of the work of employees under their supervision. The formal occasions for determining whether an individual is devoting sufficient time and energy to University employment include regular reviews in connection with annual salary decisions and scheduled reviews incident to promotion, reappointment or tenure decisions and reviews of Notices of Intent to Engage in External Professional Activities for Pay.

IV. Categories and Examples of Potential Conflicts

Activities that may involve conflicts of interest **can be categorized under four general headings:** ~~or commitment fall into three general categories that differentiate relationships according to potential for adverse impact.~~

Category I: **consists of activities that appear to involve a conflict of interest but in, fact, do not.** ~~consists of relationships that, while including some that are conflicts in a technical sense, are allowable because they do not compromise the objectivity of research results or other interests of the University, the sponsor, or the public. These relationships are generally minimal in their personal financial impact, and otherwise do not represent a potential source of bias.~~

Category II: **consist of activities that present potential conflict of interest and must be reported, but that may be allowable with administrative approval.** ~~consists of relationships that may be permissible following disclosure and, where necessary, the initiation of supervisory procedures designed to preclude bias or other inappropriate actions and to ensure the maintenance of academic standards and institutional integrity.~~

Category III: **consists of relationships that are generally not allowable because they involve potential conflicts of interest or they present obvious opportunities or inducements to favor personal interests over institutional interests. Before proceeding with such an endeavor, the EPA Employee must demonstrate that *in fact* his or her objectivity would not be affected and University interests otherwise would not be damaged. An approved conflict of interest management plan must be in place before any activities involving this category are initiated.** ~~consists of relationships that presumptively may be inappropriate for a faculty member or EPA non-faculty employee. In such cases, the individual must demonstrate to the University's satisfaction the compatibility of such practices with University policy prior to going forward with the proposed activity.~~

Category IV: consists of activities that have the potential for creating conflicts of interest that are prohibited by North Carolina and/or federal law and, therefore, may not be undertaken.

Provided below are representative, but not all-inclusive, examples of activities in each of these ~~three~~ **four** categories. Please refer to Section ~~IX below~~ **above** for important definitions.

Category I:

Activities allowable, with no reporting required. The examples cited below involve activities external to University employment, and thus may present the appearance of a technical conflict, but they in fact do not have the potential for affecting the objectivity of the EPA employee's performance of University responsibilities; at most, some such situations could prompt questions about conflicts of commitment.

a) **An EPA Employee receiving royalties from the publication of scholarly works and other writings or for the licensure of patented inventions pursuant to the University's Patent and Copyright Policies (Faculty Manual, Part VII, Research Information).**
b) **An EPA employee receiving nominal compensation, in the form of honoraria or expense reimbursement, in connection with service to professional associations, service on**

review panels, presentation of scholarly works, and participation in accreditation reviews. Senior Academic and Administrative Officers may also be subject to special regulations regarding honoraria which require leave to be taken when external activities for pay will take place during the regular work week (UNC Policy Manual, 300.2.2.2[R]).

c) An EPA Employee having an equity interest in a corporation used solely for the individual's consulting activities provided such consulting activities are appropriately reported and approved in accordance with the policy on, External Professional Activities of Faculty and Other Professional Staff and the corporation is not directly or indirectly conducting any business or sponsoring any projects with the University.

Category II:
Activities requiring disclosure for administrative review.

1. Research Activities
   a) An EPA employee accepting support for University research under conditions that require research results to be held confidential, unpublished, or inordinately delayed in publication. Research conducted by faculty or students under any form of sponsorship must maintain the University's open teaching and research philosophy and must adhere to a policy that prohibits secrecy in research. Such conditions on publication must be in compliance with UNC Policy Manual, 500.1 and 500.2.
   b) Related persons working on the same funded or unfunded project.
2. External Activities
   a) An EPA Employee serving on the board of directors or scientific advisory board of an enterprise or business that provides financial support for University research, and the employee or a member of his or her immediate family may receive such financial support.
   b) An EPA Employee serving in an executive position in a for-profit or not-for-profit business which conducts research or other activities in an area related to the University duties of the employee.
3. Ownership
   a) An EPA Employee having a financial interest or a significant financial interest in a business that competes with the services provided by the University.
   b) An EPA Employee having significant equity or a Significant Financial Interest in a for-profit business which conducts research or other activities in an area related to the employee's University duties. An EPA Employee requiring students to purchase the textbook or related instructional materials of the employee or members of his or her immediate family, which produces compensation for the employee or family member.
4. Other
   a) An EPA employee receiving compensation or gratuities (other than occasional meals, gifts or desk copies of textbooks, and the like) from any individual or entity doing business with the University. This notwithstanding, see Category IV example (f).
   b) Engaging in any other activity that has the potential for creating a conflict of interest or commitment as defined herein.

Category III:
Activities or relationships that are generally not allowable.

1. Research Activities
   a) An EPA Employee participating in University research involving a technology owned by or contractually obligated (by license, option, or otherwise) to a business in which the individual or an immediate family member has a consulting relationship, has an ownership interest, or holds an executive position.

b) An EPA Employee participating in University research which is funded by a grant or contract from a business in which the individual or member of his or her immediate family has an ownership interest and/or significant financial interest;
c) An EPA Employee assigning students, postdoctoral fellows or other trainees to University research projects sponsored by a business in which the individual or a member of his or her immediate family has an ownership interest and/or significant financial interest.

2. External Activities
a) Assuming an executive position in a not-for-profit business with which the University has a contractual relationship known to the individual and which is engaged in commercial or research activities in a field related to the individual's University responsibilities.
b) An EPA Employee making referrals of University business to an external business or company in which the individual or a member of his or her immediate family has a financial interest, including a consulting relationship.
c) An EPA Employee associating his or her own name with the University in such way as to profit financially by trading on the reputation or goodwill of the University. An example of a context in which such an association might occur is external professional activity for pay. Mere identification of the University as the employer of the individual and of the individual's position at the University is permitted by this section, provided that such identification is not used in a manner that implies sponsorship or endorsement by the University.
d) An EPA Employee serving as an expert witness for pay in litigation which requires the disclosure of research data in a manner that will compromise the University's or a student's ability to publish.

. Public Disclosure
a) An EPA Employee publishing or formally presenting University sponsored research results, or providing expert commentary on a subject, without simultaneously disclosing any significant financial interest relating to such results or such subject.
b) An EPA Employee making unauthorized use of privileged information acquired in connection with one's University responsibilities. See also Category IV activities.

4. Administrative Responsibilities
a) An EPA Employee taking administrative action in the course and scope of University responsibilities that is beneficial to a business in which the individual or an immediate family member has a significant financial interest, including a significant consulting relationship. See also Category IV activities.
b) An EPA Employee influencing the negotiation of contracts between the University and an outside organization with which the individual or an immediate family member has a significant financial interest, including a significant consulting relationship. See also Category IV activities.

5. Committee Participation
a) An EPA Employee serving on a committee of a governmental agency or private entity during the consideration by such a committee of the regulation or application of a technology that is owned by or contractually obligated to a business in which that individual or immediate family has a significant financial interest, including a significant consulting relationship.

ategory IV:
Activities that have the potential for creating conflicts of interest that are prohibited by North Carolina and federal law (including N.C. Gen. Stat. 14-234 and 14-234.1 as they currently exist and as may later be amended) and, therefore, may not be undertaken.

(a) N.C.G.S. (a1)(4) defines "direct benefit from a contract" to mean where a state officer or employee *or his or her spouse*: (i) has more than a ten percent (10%) ownership or other interest in an entity that is a party to contract with a state agency; (ii) derives any income or commission directly from the contract with a state agency; (iii) acquires any property under the contract with a state agency.

(b) N.C.G.S. 14-234 (a1)((2) states that a public officer or employee is involved in administering a contract if he or she oversees the performance of the contract or has authority to make decisions regarding the contract or to interpret the contract.

(c) N.C.G.S. 14-234 (a1)((3) states in part that a public officer or employee is involved in making a contract if he or she participates in the development of specifications or terms or in the preparation or award of the contract.

(d) North Carolina law prohibits a state officer or employee who is involved in making or administering a contract on behalf of a state agency from deriving a direct benefit from the contract (N.C.G.S. 14-234 (a)(1)).

(e) North Carolina law prohibits a state officer or employee who receives a direct benefit from a contract with the state agency he or she serves, but who is not involved in making or administering the contract, from attempting to influence any other person who is involved in making or administering the contract. (N.C.G.S. 14-234 (a)(2))

(f) North Carolina law prohibits a state officer or employee from soliciting or receiving any gift, reward, or promise of reward in exchange for recommending, influencing, or attempting to influence the award of a contract by the state agency he or she serves. (N.C.G.S. 14-234 (a)(3))

(g) Contracts made in violation of N.C.G.S. 14-234 are void as a matter of law and anyone violating this statute may be prosecuted criminally.

(h) N.C.G.S. 14-234.1 prohibits a State officer or employee from benefiting financially, or helping someone else benefit, from non-public information gained by the employee in his or her official capacity. *Anyone violating this statute may be prosecuted criminally.*

(i) Note that the North Carolina Ethics Act (Ethics Act) also regulates Conflicts of Interest for "Covered Persons". Questions regarding the Ethics Act should be directed to the University Attorney.

(j) Medicare Anti-Kickback Law. The Medicare Anti-Kickback law (42 U.S.C. 1320a-7b(b)) prohibits compensation from research sponsors that provide or supply healthcare services or products to researcher-physicians or hospitals for their participation in clinical research if such compensation is intended to induce physicians or hospitals to purchase drugs or services of the research sponsor that will be paid by Medicare or Medicaid.

(k) False Claims Act. Researchers must certify in their grant applications that they are in compliance with statutory and regulatory requirements, including applicable statutes and regulations prohibiting conflicts of interest. Falsely certifying compliance could result in criminal prosecution and civil penalties under the False Claims Act (31 U.S.C. 3729, *et seq.*),

~~Activities that are routinely allowable and are not required to be disclosed pursuant to this policy.~~

~~d) Receiving royalties for published scholarly works and other writings or for inventions pursuant to the University's Patent and Copyright Policies (Faculty Manual, Part VII, Research Information).~~

~~e) Membership in and service to professional associations and learned societies; membership on professional review or advisory panels; presentation of lectures, papers, concerts or exhibits; participation in seminars and conferences; reviewing or editing scholarly publications and books; and service to accreditation bodies are permitted under the ECU Policy Statement on External Professional Activities of Faculty and other Professional Staff (Faculty Manual, Part~~

VI, General Personnel Information) so long as they do not conflict or interfere with the timely performance of primary University duties. These activities are permitted even if they are performed for nominal honoraria or reimbursement of expenses, provided that the receipt of nominal honoraria or reimbursement of expense is not in conflict with any other applicable University, state, or federal policy, rule or regulation. These activities are not required to be disclosed in this Policy's Annual Faculty/Professional Staff Disclosure Form. However, a "Notice of Intent to Engage in External Professional Activity" may be required pursuant to ECU's policy (Faculty Manual, Part VI, General Personnel Information).

f) Ownership of or equity in a corporation used solely for the individual's consulting activities provided such consulting activities are appropriately reported and approved in accordance with Faculty Manual, Part VI, General Personnel Information, External Professional Activities of Faculty and Other Professional Staff.

Category II:

Activities that may be allowable following disclosure and, where necessary, the implementation of monitoring procedures.

1. Research Activities

c) Participating in University research (basic, applied, and clinical) on a technology developed by that individual or a member of his of her immediate family, unless the activity is specifically disallowed under the guidelines of Category III.

d) Participating in University research involving a technology owned by or contractually obligated (by license, option or otherwise) to a business in which the individual or immediate family has a consulting relationship.

e) Receiving through contract or gift University sponsored research support (whether in dollars or in kind) for research from a business in which the individual or immediate family has a consulting relationship.

2. External Activities

c) Serving on the board of directors or scientific advisory board of a business from which that individual or immediate family receives University-sponsored research support or with which the University has a substantial contractual relationship known to the individual, unless the activity is specifically disallowed under the guidelines of Category III.

d) Assuming an executive position in a not-for-profit business with which the University has a substantial contractual relationship known to the individual and which is engaged in commercial or research activities in a field related to the individual's University responsibilities, unless the activity is specifically disallowed under the guidelines of Category III.

3. Ownership

c) Possessing a significant financial interest, including a significant consulting relationship, in a business that competes with the services provided by the University as a part of their academic, research, or service mission.

d) Possessing a significant financial interest, including a significant consulting relationship, in a business field related to the individual's University responsibilities, unless the activity is specifically disallowed under the guidelines of Category III.

e) Requiring or recommending one's own textbook or other teaching aids, materials, or equipment to be used in connection with University programs or those of immediate family. Such a requirement or recommendation must be preceded by disclosure and review according to this policy.

4. Other

c) Acceptance by the University employee or immediate family of other than nominal gratuities or special favors from one whom the individual knows is doing business with or proposing to do business with the University.

d) Engaging in any other activity that has the potential for creating a conflict of interest or commitment as defined herein.

Category III:

~~Activities that are presumptively not allowable. Many of the examples below may seem to overlap examples in Category II above; however, the addition of 'significant financial interests' in the activities below creates the presumption that these activities are not allowable.~~

~~1. Research Activities~~

~~d) Participating in University research involving a technology owned by or contractually obligated (by license, option, or otherwise) to a business in which the individual or immediate family holds significant stock or similar significant ownership interest, or has any other significant financial interest, other than a receipt of University-sponsored research support, or receipt of royalties under University royalty sharing policies.~~

~~e) Receiving, through contract or grant, University sponsored research support (whether in dollars or in kind) for research from a business in which the individual or immediate family holds a significant stock or similar significant ownership interest or has any other significant financial interest.~~

~~f) Assigning students, postdoctoral fellows or other trainees to University projects sponsored by a for-profit or not-for-profit business in which the individual or immediate family has a significant financial interest, including a significant consulting relationship.~~

~~2. External Activities~~

~~e) Assuming an executive position in a not-for-profit business with which the University has a substantial contractual relationship known to the individual and which is engaged in commercial or research activities in a field related to the individual's University responsibilities.~~

~~f) Making referrals of University business to an external business or professional office in which such individual or immediate family has a significant financial interest, including a significant consulting relationship.~~

~~g) Associating one's name or one's work with an external activity in such a way as to profit monetarily by trading on the reputation or good will of the University or to imply sponsorship or endorsement by the University. An example of a context in which such an association might occur is external professional activity for pay. Mere identification of the University as the employer of the individual and of the individual's position at the University is permitted by this section, provided that such identification is not used in a manner that implies sponsorship or endorsement by the University.~~

~~3. Public Disclosure~~

~~c) Publishing or formally presenting University sponsored research results, or providing expert commentary on a subject, with out simultaneously disclosing any significant financial interest relating to such results or such subject.~~

~~d) Unauthorized use of privileged information acquired in connection with one's University responsibilities to further one's own personal interests.~~

~~4. Administrative Responsibilities~~

~~c) Taking administrative action in the course and scope of University responsibilities that is beneficial to a business in which the individual or an immediate family member has a significant financial interest, including a significant consulting relationship.~~

~~d) Influencing the negotiation of contracts between the University and an outside organization with which the individual or an immediate family member has a significant financial interest, including a significant consulting relationship.~~

~~5. Committee Participation~~

b) ~~Serving on a committee of a governmental agency or private entity during the consideration by such a committee of the regulation or application of a technology that is owned by or contractually obligated to a business in which that individual or immediate family has a significant financial interest, including a significant consulting relationship.~~

V. ~~Submission of Conflict Evaluation Forms (Disclosures).~~ **COI Procedures**

~~Policy: Effective July 1, 1995, e~~**E**ach ~~faculty member and all other~~ EPA ~~e~~**employee** will be required to disclose annually **relationships and circumstances that may raise questions about conflicts of interest and conflicts of commitment relating to University employment responsibilities, including, but** ~~for both him/her selves and their immediate families (see definition in Section IX) the extent of their relevant external activities and relationships and their financial holdings that are related to the employee's university activities. These university activities include but are~~ not limited to sponsored research activities. ~~These external activities, relationships and financial holdings are described above in Section IV under Categories II & III.~~ All potential Category **II, III,** and ~~III~~ **IV** relationships or financial holdings must be reported regardless of the dollar amounts involved. Category I activities and relationships are not required to be disclosed under this policy; however, other university reporting requirements may apply to these activities (see Section IV). Where there is some question whether an activity should be considered a Category I or II activity as described above, the ~~faculty/~~EPA ~~non-faculty e~~**E**mployee should include the activity in the disclosure for consideration by his/her supervisor.

~~All faculty and other EPA personnel are charged by the University to provide a full good faith disclosure. Failure to provide such a full disclosure may be considered a serious breach of this policy and may be cause for disciplinary action (see Section VIII).~~

Revisions or updates of the yearly disclosures are required between yearly disclosures whenever there is a significant change in the ~~faculty member's~~ EPA **employee's** or his**/her** immediate family's affairs that may lead to or may be perceived to lead to a conflict with the ~~faculty member's~~ **EPA employee's** university activities, e.g., the faculty member's spouse begins to receive consultant fees from a company that currently contracts with university for research services from the faculty member's laboratory.

Procedures: To facilitate disclosure and to ensure appropriate uniformity across the University, each individual will complete the "Annual Faculty/Professional Staff Disclosure Form." Each unit administrator will distribute this form annually to all faculty and professional staff (EPA non faculty) under his or her supervision and assure that completed forms are returned. **Unit Administrators shall summarize the disclosure completed by EPA employees to the Office of Research Compliance Administration.**

The purpose of this form is to identify employees' activities that may lead to actual or potential conflicts of commitment or interest so that appropriate administrative intervention may address the problems. The employee and the administrative ~~**superior**~~ **supervisor** are to complete and sign the annual disclosure form, which implies that the administrative ~~**superior**~~ **supervisor** has reviewed the form. No further action will be required if all questions are answered "no".

Further disclosure and review are required if questions elicit any "yes" responses on the Annual Faculty/Professional Staff Disclosure Form or on any mid-year revisions or updates of the annual form. The employee must then complete and sign the appropriate additional forms. Suggested provisions or plans for eliminating or managing conflicts should be included in these additional forms where indicated. Examples of some (but not all) possible provisions for conflict management plans are:

1. Public disclosure of the significant financial interests or external activities;
2. Monitoring of activities by disinterested university officials to assure that conflicts do not arise;
3. Cessation of the pertinent outside activities;
4. Divestiture of the pertinent financial interests; **and**
5. Severance of the relationships that create actual or potential conflicts.

Since these forms have direct bearing on the employment of individuals with the University, all disclosure forms (the annual form and accompanying forms) and associated documents will be maintained in the administrative office of the employee's unit in his/her personnel folder for a period of at least three years following termination of the pertinent activities.

VI. Review and Approval of Activities and Plans for Eliminating or Managing Conflicts.
The unit administrator (chair, dean, or the employee's supervisor in the case of a senior administrator) has the initial responsibility to review and approve or disapprove the disclosure forms filed with him or her by the EPA employees within that unit. The review shall follow the provisions of this Policy. The Unit administrator should be familiar with the definition of 'Significant Financial Interest' ~~(See Section IX)~~ to differentiate between Category II and Category III activities and relationships. Category III activities are presumptively considered to be non-allowable.

The unit administrator may refer any question regarding an annual disclosure form to the next higher administrative level for review and decision and must refer to the next higher level for review and approval all annual disclosures (and updates/revisions) which require additional forms (as described in the annual disclosure form) for EPA employees involvement in possible Category II and III activities as described above.

If a potential conflict is determined to exist, written plans for eliminating or managing the conflict will be developed in consultations between the employee**, the Office of Research Compliance Administration,** and his/her supervisors **(up to and including deans of academic units as appropriate)** and presented to the Vice Chancellor ~~of~~ for **Research and Graduate Studies** ~~of the appropriate division for concurrence~~. **For Category II through IV Conflicts of Interest, the plan will also be submitted to the appropriate division's Vice Chancellor for informational review.** It will then be presented to the ECU Research Ethics Oversight Committee (see below) for final approval. An adverse decision of the Committee to a proposed management plan may be appealed to the Chancellor. The supervisor of the EPA employee will be responsible for assuring the implementation and/or monitoring of the conflict management plan.

Documentation of all decisions on activities and associated conflict management plans will be maintained in the employee's personnel folder.

In order to fulfill the certification requirements of grant and contract funding agencies (e.g., the NIH and NSF), each unit administrator shall also provide annually to the Vice Chancellor for Research and Graduate Studies a list of all faculty members and EPA staff in the administrator's unit who have submitted approved current annual disclosure forms and, where needed, an indication when such approval required development of an acceptable conflict management plan. This list may be amended as needed during the year. The Vice Chancellor for Research **and Graduate Studies or** ~~his~~ designee will use this information to **report any perceived or potential COI to the sponsor or to** certify to potential funding agencies that this Institution has a conflict of interest policy consistent with NIH and NSF guidelines and that to the best of our knowledge all provisions of the policy have been followed with respect to proposals submitted to the agencies by ECU faculty and staff.

If after initial review **of any disclosure** by the department head, dean, and vice chancellor, questions remain regarding ethical issues or if disagreement exists between the EPA employee and the administration regarding the permissibility of activities**, or if the COI management involves more than disclosure and minor oversight,** the situation may be referred to a faculty/administrative advisory committee for review of conflicts of interest and commitment. This committee, the *Research Ethics Oversight Committee,* will be chaired by the Vice Chancellor for Research & Graduate Studies**. Appropriate individuals will be appointed members to the committee by the Vice Chancellor for Research and Graduate Studies.** ~~and will have representatives from the faculty senate as~~

~~members.~~ When the committee reviews conflict management plans, a representative of university attorney's office shall be present. ~~In addition, when a management plan involves graduate students, a representative from the graduate council will also be present. Other appropriate individuals will be appointed members to the committee by the Vice Chancellor for Research & Graduate Studies.~~ Decisions by this committee will be presented to the Chancellor for his or her concurrence and, if approved, will become the University's final position ~~**subject only to appeal in accordance with Section 501C(4) of The Code of the University of North Carolina**~~**.**

If the activity at issue involves external support (grant, contract or cooperative agreement), the ~~vice chancellor for research~~ **Director of Sponsored Programs** shall inform the sponsor **in accordance to Sponsor policy and guidelines of the COI**. ~~whenever the University determines that it is unable to develop a satisfactory conflict management plan for an actual or potential conflict of interest.~~

Whenever human subjects are involved in an activity presented to the ~~Research Ethics Oversight Committee~~ University's Office of Research Compliance Administration (including approvals of conflict management plans), the University & Medical Center Institutional Review Board (UMCIRB) will be confidentially notified of the issue and the Committee's actions.

VII. Institutional Conflict of Interest

East Carolina University, from time to time, forms relationships with profit-making entities (including the holding of equity interests) for mutual benefit. However, such relationships may put the University into actual or apparent conflict of interest situations when accepting grants or contracts from the profit making entities for research or other activities. (See exclusion at the end of this section for certain types of relationships.) To assure that these grants and contracts are performed with the highest level of integrity by University employees and to assure that the public maintains it trust in University activities, the following procedures shall be followed:

1. At the beginning of each calendar year, the Director, Office of Technology Transfer shall prepare a disclosure listing all profit-making entities in which the University has a significant financial interest ~~(See Section IX.4)~~. This disclosure shall be updated during the year as new relations develop and old ones terminate. This disclosure and its updates will be submitted to the Vice Chancellor for Research and Graduate Studies who shall distribute the disclosure to the Chancellor, the other Vice Chancellors and Deans, and the Research Ethics Oversight Committee. Copies of the disclosure and updates shall also be distributed to those university administrative offices charged with approving and administering grants and contracts and other regulatory committees ~~human subjects research protection~~ (for example, Office of Sponsored Programs, Office of Grants and Contracts Administration and the UMCIRB).
2. Units submitting proposals for external funding to commercial entities may not be aware of possible institutional conflict of interest issues. Thus, the Office of Sponsored Programs shall have the primary responsibility of notifying Office of Research Compliance Administration, Vice Chancellor for Research and Graduate Studies and the submitting unit of the University's conflict of interest as part of its regular procedures for the review and approval of such applications. The Office of Research Compliance Administration or the Vice Chancellor or his designee shall then develop a plan to manage the institutional conflict of interest after consultation with the submitting unit and other relevant university offices. The conflict management plan shall be submitted to the Research Ethics Oversight Committee for review. The Committee may approve the plan (with or without mandatory changes) or disapprove the plan. University acceptance of grants and contracts related to a management plan is contingent upon approval of the management plan by the Committee. A negative decision of the Committee may be appealed to the Chancellor. An institutional conflict management plan may range from a simple disclosure of the University's interest in publications and reports emanating from the grant or contract to complete University divestiture of the financial interest. The institutional conflict of management plan shall be separate

from and in addition to any conflict management plans for conflicts of interests of individuals (e.g., the principal investigator) involved in the grant or contract.

3. When considering an institutional conflict of interest management plan, the Research Ethics Oversight Committee shall a) include as voting members, one or more individuals from the general public who have no direct or indirect relationship with the University, i.e., the individuals and their spouses or other dependents must not be current employees or students of the University; and b) recuse from the deliberations of the Committee any ECU member of the Committee who has been involved in the negotiation, approval, or implementation of the relationship that is the basis of the actual or perceived conflict of interest. The general public members of the Committee should be individuals that have sufficient education or experience to understand both the issues before the Committee and the possible impacts of the Committee's decisions on the general public.
4. Arrangements for plan implementation and oversight shall explicitly be part of an institutional conflict management plan. Implementation and oversight will usually be the joint responsibility of the submitting unit and the Office of the Vice Chancellor for Research and Graduate Studies. However, other arrangements shall be made for plan implementation and oversight if, in the judgment of the Research Ethics Oversight Committee, such arrangements are necessary for the effective management of the conflict.

Excluded Relationships: A relationship with a profit making organization for the purposes of this institutional conflict of interest policy shall not include ordinary investments of the university's endowment that are managed by the Board of Trustees of the Endowment Fund or ordinary client-vender relationships where the University contracts for specific goods or services from a profit-making organization.

VIII. External Professional Activity for Pay Procedures

1. An EPA Employee who plans to engage in external professional activity for pay shall complete the "Notice of Intent to Engage in External Professional Activity for Pay" (hereinafter referred to as "Notice of Intent") in a format as described in section 2 of this Part VIII. The Notice of Intent shall be filed with the head of the department in which the individual is employed. A separate "Notice of Intent" shall be filed for each such activity in which an employee proposes to engage. Unless there are exceptional circumstances, the "Notice of Intent" shall be filed not less than ten (10) calendar days before the date the proposed external professional activity for pay is to begin. The Notice of Intent Format: The format for giving notice of Intent should follow the sample notice form.

~~NOTICE OF INTENT TO ENGAGE IN EXTERNAL PROFESSIONAL ACTIVITIES FOR PAY~~

~~Date: _____~~

~~_____(Name) intends to engage in external professional activity for pay under the following conditions:~~

~~1. Name and address of contracting organization;~~

~~2. Nature of proposed activity;~~

~~3. Beginning date and anticipated duration of activity;~~

~~4. On average, how many hours per week will be devoted to this activity?~~

~~a. For twelve-month employees, for the anticipated duration of the activity, within the current fiscal year ending June 30: ___;;~~

~~b. For 9-month employees, for each component part of the academic year, as applicable, within the current fiscal year ending June 30:~~

~~i. Second summer session (post July 1) ____~~

~~ii. Fall Semester ___~~

~~iii. Spring Semester ___~~

iv. First Summer Session (pre July 1) ___

5. Total number of hours to be devoted to activity: ___

6. Identify any classes, meetings, or other university duties that will be missed because of involvement in the proposed activity (respond separately for each applicable component part of the academic calendar if 9-month employee) and state what arrangements have been made to cover any such duties;

Duties Missed	Arrangements to Cover
_____	_____
_____	_____

7. Use of University resources in connection with proposed activity:

1. Will the activity entail the use of any university resources? (see Section II(G) above and UNC Policy Manual, 300.2.2, Section I, Item G) ___ Yes ___ No

2. If yes, describe what resources will be used; _____

8. To your knowledge, does the contracting organization provide funding which directly supports any of your University duties or activities?: Yes() No()lTo be completed if the contracting organization is a private firm:

a. Do you or any member of your immediate family own an equity interest in the contracting organization: Yes() No ()

b. Do you hold an office in the contracting organization? Yes() No ()

9. Performance of the above described activity is consistent with the Board of Governors Policy on Conflicts of Interest and Commitment and External Professional Activities

Signatures follow..

10. Each EPA faculty and EPA non-faculty participating in external activity for pay must report the activity during the past fiscal year. Such reports (a sample form for reporting external activity for pay is available at the Academic Affair's webpage) will contain the following information for each external professional activity for pay engaged in during the last fiscal year preceding the date of filing of a "Notice of Intent":

11. Contracting organization;

12. Beginning and ending date of activity (if completed): 3. Average hours per week devoted to this activity;

13. Total number of hours devoted to this activity;

14. Nature of professional activity;

15. Date Notice of Intent was filed; and

16. Administrative Action on Notice of Intent which will have the following signatures and information:

17. Signature and date of unit head certifying activity determined to be consistent with university policy;

18. Other action (as required);

19. Signature and date of Dean or Other Administrative Officer (Approval by dean or next higher administrator is required if the contracting organization is providing funding to the University or if a family member or the EPA faculty or EPA non faculty owns equity or hold an office in the contracting organization) if activity determined not to be consistent with university policy;

20. Action on appeal (if any) and date action taken;

21. Signature and date of Dean or next higher administrator if appealed; and

~~22. Signature of Chancellor if appealed.~~

~~23. Any administrative action approving a "Notice of Intent" shall be effective only for the remaining balance of the fiscal year (in the case of twelve-month employees) or for the balance of the academic year (for nine-month employees).~~

2. **Approval of a "Notice of Intent" may be granted for a period not to exceed the balance of either 1) the fiscal year (in the case of twelve-month employees and employees with contract service periods that include the summer session) or 2) the academic year (in the case of nine (9) month employees with no summer session contract period) remaining as of the date of approval; if the approved activity will continue beyond the end of the relevant fiscal or academic year in which it was begun, an additional "Notice of Intent" must be filed at least ten days before engaging in such activity in the succeeding relevant year.**

3. **Except as set out in paragraph 5 below, the "Notice of Intent" shall be considered as follows: If, after a review of the "Notice of Intent" and consultation with the EPA employee, the unit head determines that the proposed activity is not consistent with this policy statement of the Board of Governors and East Carolina University, the EPA Employee shall be notified of that determination within ten (10) calendar days of the date the "Notice of Intent" is filed. In the event of such notification by the unit head, the EPA Employee shall not proceed with the proposed activity but may appeal that decision to the next higher administrator and then to the Chancellor or the Chancellor's designee. A decision on any such appeal shall be given to the EPA Employee within ten calendar days of the date on which the appeal is received. The decision of the Chancellor is final. Appeals shall be made in writing on the "Notice of Intent" form.**

4. **If question 8, question 9a, or question 9b on the Notice of Intent, above, is answered in the affirmative the procedure set out in paragraph 4 above shall be modified as follows: The decision of the unit head to approve the activity shall be reviewed promptly and approved or disapproved within ten (10) days of receipt by the next higher administrator, and appeal of a disapproval by that officer shall be to the Chancellor or the Chancellor's designee. In addition, the Vice Chancellor for Research and Graduate Studies must review the external activity for management of any Conflicts of Interest and notify the University and Medical Center Institutional Review Board if the EPA Employee is participating in a protocol involving human subjects at ECU to ensure compliance with applicable IRB laws and regulations.**

5. **Departmental summaries of all "Notices of Intent" filed and of actions taken in response to such "Notices of Intent" during the preceding fiscal year shall be submitted by unit heads to the Chancellor each July. As initiated by the UNC General Administration on or before September 1 of each year, the Chancellor will provide an annual summary report to the President.**

6. **If the external professional activity for pay is wholly performed and completed outside of the academic year by EPA employees serving on academic year contracts, said EPA Employees do not need to file Notices of Intent with their unit head provided that the activity does not conflict with this policy statement of East Carolina University and of the Board of Governors and is not conducted concurrently with a contract service period for teaching, research, or other services to East Carolina University during a summer session.**

7. **University employees not complying with these procedures will be subject to disciplinary action. Unit heads are held responsible for proper reporting.**

~~III~~ **IX. Enforcement of the Policies**

~~Faculty and non-faculty~~ EPA **Employees** ~~staff~~ are under a clear obligation to adhere to the ECU policies and procedures to disclose and to remove or appropriately manage conflicts of interest or commitment. Breaches of the policy/procedures will be viewed as serious ethical violations by the persons involved. Possible breaches of the policy/procedure include, but are not limited to:

1. Furnishing false, misleading or incomplete information on the disclosure forms;
2. Failure to promptly update disclosure forms before the required annual update when a significant change in a person's financial or fiduciary status places the individual into an immediate potential conflict of interest or commitment situation;
3. Failure to comply with the procedures described above (e.g., refusal to respond to inquiries, responding with incomplete or knowingly inaccurate information, or otherwise);
4. Failure to remedy conflicts as determined by the Procedures; and
5. Failure to comply with a prescribed monitoring plan.

If a possible breach in the policy/procedures occurs, the appropriate dean shall consult with the faculty person and his chair. If no resolution is forthcoming, the dean shall refer the case to the appropriate vice chancellor. The vice chancellor shall consult with the vice chancellor for research and shall initiate an investigation and/or hearing as prescribed in Faculty Manual, Part VII and Appendix D and apply sanctions as determined by university policies. Such sanctions may range from administrative intervention to dismissal from employment, all in accordance with applicable university policies.

~~IX. Definitions~~

~~1. "Business" means any corporation, partnership, sole proprietorship, firm, franchise, association, organization, holding company, joint stock company, receivership, business or real estate trust, or any other legal entity organized for profit or charitable purposes. "Business" excludes University-related entities, which is inclusive of the University, and any private medical practice or any other entity controlled by, controlling, or under common control with the University or with which the University has a contractual relationship for the purpose of providing patient care.~~

~~2. "Executive Position" refers to any position that includes responsibilities for a material segment of the operation or management of a business, including Board membership.~~

~~3. The " Immediate Family" of a faculty or EPA non-faculty employee includes his or her spouse, dependent children and/or other dependent(s) as defined in the Internal Revenue Code.~~

~~4. "Significant Financial Interest" means anything of monetary value, including but not limited to, salary or other payments for services (e.g., consulting fees or honoraria); equity interests (e.g., stocks, stock options or other ownership interests); and intellectual property rights (e.g., patents, copyrights, license agreements, and royalties from such rights). The term does not include:~~

~~(1) Salary, royalties, or other remuneration from East Carolina University to its faculty or staff;~~

~~(2) Income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities;~~

~~(3) Income from service on advisory committees or review panels for public or nonprofit entities;~~

~~(4) An equity interest that when aggregated for the faculty/staff and the faculty/staff's immediate family, meets both of the following tests: Does not exceed $10,000 in value as determined through reference to public prices or other reasonable measures of fair market value, and does not represent more than a five percent ownership interest in any single entity;~~

~~(5) Salary, royalties or other payments that when aggregated for the faculty/staff and the faculty/staff's immediate family over the next twelve months, are not expected to exceed $10,000 from any one source.~~

~~(6) Mutual, pension, investment or other funds over which the employee or the University does not exercise direct control.~~

5. "Participate" means to be part of the described activity in any capacity, including but not limited to serving as the principal investigator, co-investigator, research collaborator or provider of direct patient care. The term is not intended to apply to individuals who provide primarily technical support or who are purely advisory, with no direct access to the data (e.g., control over its collection or analysis) or, in the case of clinical research, to the trial participants, unless they are in a position to influence the study's results or have privileged information as to the outcome.
6. "Sponsored Programs" means research, public service, training and instructional projects involving funds, materials, or other compensation from outside sources under grants, contracts, or cooperative agreements.
7. "Technology" means any process, method, product, compound, drug, device, or any diagnostic, medical, or surgical procedure developed using University time, facilities, equipment, or funds whether intended for commercial use or not.

Example Forms A-E are available online at
http://www.ecu.edu/cs-acad/fsonline/customcf/facultymanual/appendixi/appendixi.htm

FACULTY WELFARE COMMITTEE REPORT

Proposed revisions to the *ECU Faculty Manual*,
Part VI. Section I. Employment Policies

(Additions are noted in **bold** print and deletions in ~~strikethrough~~).

Revise and keep in the Faculty Manual.

E. ~~Orientation of New Faculty~~ **New Faculty Orientation**

The East Carolina University New Faculty Orientation Program begins with the opening of the semester and includes an orientation to a variety of resources available for teaching and learning, research, and service: http://www.ecu.edu/cs-acad/facultyorientation

Orientation to the Brody School of Medicine:
http://www.ecu.edu/cs-dhs/bsomfacdev/orientation.cfm

Ongoing programs, including information on mentoring, are available through the Office for Faculty Excellence: http://www.ecu.edu/ofe/

~~During the opening week of school, new faculty attend an announced meeting for the purpose of acquainting them with the chancellor and key administrative personnel and their responsibilities and with the relationship between faculty and administration. After this meeting, orientation of new faculty is continued throughout the year by deans and chairpersons who assist the faculty in becoming acquainted with the practices and procedures of the university. Orientation of new faculty who are appointed on a part-time basis will take place within their respective departments and will include receipt of and discussion of the departmental part-time faculty information sheet, as well as access to the complete *ECU Faculty Manual*.~~

Revise and keep in the Faculty Manual.

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

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

~~September 2007 Update~~
~~Participation in East Carolina University's Phased Retirement Program is available to tenured faculty who meet University of North Carolina Program eligibility criteria. Information on the Program, including policies, guidelines, and applicable forms are available on the office of academic affairs personnel forms web page and from the offices of the academic deans, the provost/vice chancellor for academic and student affairs, and the vice chancellor for health sciences. (FS Resolution #07-34, December 2007)~~

Revise and keep in the Faculty Manual.

I. Retirement

All full-time employees of the university with a permanent appointment must participate in the North Carolina Teachers' and State Employees' Retirement System with the exception that employees who hold faculty rank are eligible to choose between the North Carolina Teachers' and State Employees' Retirement System (TSERS) or the Optional Retirement Program (ORP).

Statutory provisions for the State Retirement system:
http://www.ncga.state.nc.us/enactedlegislation/statutes/pdf/bychapter/chapter_135.pdf

Overview of retirement plan options:
http://www.ecu.edu/cs-admin/humanresources/customcf/Benefits/Benefits_Retirement_Plans.pdf

http://www.ecu.edu/business_manual/Human_Resources_Policy11.htm

NC State Treasurer's Retirement home page:
http://www.nctreasurer.com/dsthome/RetirementSystems

~~I. Retirement~~
~~1. Insurance~~
~~All full-time employees of the university with a permanent appointment must participate in the North Carolina Teachers' and State Employees' Retirement System with the exception that employees who hold faculty rank are eligible to choose between the North Carolina Teachers' and State Employees' Retirement System (TSERS) or the Optional Retirement Program (ORP). When first employed or when given a permanent appointment, all employees should contact the department of Human Resources to be enrolled in the retirement system. Once the eligible employee has made a choice and enrolled in the system he or she selects, the decision will be irrevocable. It is not possible to change from one program to the other during employment in an eligible position. All members of TSERS or ORP will contribute 6 percent of their earnings, including summer session salaries. All retirement contributions to either TSERS or to ORP are tax sheltered from federal and state withholding taxes. For those who teach a regular nine-month school term and who are active members of TSERS, one year of creditable service is allowed for retirement purposes. The employee in TSERS should apply for retirement benefits at least thirty days but not more than ninety days prior to the effective date. Arrangements for retirement should be made at the university department of Human Resources. For those in ORP, individual guidance from the ORP representatives is always available. A few months before retirement age, the employee will receive information and specific figures for options in regard to retirement benefits from ORP. (FS Resolution #07-26, December 2007)~~

~~Employees who retire under either the optional retirement program (ORP) or the North Carolina Teachers' and State Employees' Retirement System and who are eligible to receive benefits through the NC Comprehensive Health Benefit Plan must complete an application in the university department of Human Resources for transfer of health benefit coverage from the active employee group to the retiree group. Transfer is required for continuation of health insurance benefits upon retirement. Any premium due for coverage of dependents may be deducted from the monthly retirement benefit check for those who are members of the North Carolina Teachers' and State Employees' Retirement System.~~

~~Additional information about the two retirement systems is given below:~~
~~a. TSERS~~
~~The university is required to contribute 10.83 percent of all employee salaries that are subject to retirement deductions. A part of this percentage is for accrued liability incurred by the retirement system's pension fund, death benefit trust fund, and retirees' health care benefits. Some of the key points for eligibility for certain benefits are as follows:~~
~~1) Monthly payments at retirement are based on salary, age, and years of credit~~
~~2) Unreduced retirement benefit at age sixty-five with five years of credit, or at age sixty with twenty-five years of credit, or at any age with thirty years of credit; reduced benefit after age fifty and twenty years of credit, or at age sixty with five years of credit~~

3) A right to a reduced benefit at age sixty after five years of credit, regardless of whether the employee is working

4) In the event of the employee's death, the beneficiary will receive a refund of the employee contributions with interest. If the employee dies in active service (while being paid salary or within 180 days after salary payments cease) after completing twenty years of service credit regardless of age or reaching age sixty with five years of service credit, the principal beneficiary named to receive a refund of contributions and interest (provided only one person is named) may choose to receive a monthly benefit for life instead of a refund of contributions with interest. This is known as the survivor's alternate benefit. If two or more persons or an estate is named as beneficiary, the survivor's alternate benefit does not apply.

5) If an employee dies while still in active service (while being paid salary), after one year as a contributing member, the beneficiary will receive a single lump sum payment known as the death benefit. This payment equals the highest twelve months salary in a row during the twenty-four months before death.

6) Coverage in the NC Disability Income Plan as described in the state retirement book. Employees should maintain a current record of designation of beneficiary with the TSERS. Any changes regarding the designated beneficiary may be made at the university department of Human Resources. In the event that the employee terminates his or her services with the university without qualifying for retirement benefits, he or she may with draw the portion of accumulated retirement contributions or may leave the accumulated contributions on deposit with TSERS. After a refund has been made, the employee forfeits all credit for years of service earned during past employment.

b. Optional Retirement Program (ORP)

The university will contribute 6.66 percent on all earnings paid the employee. Both the employee's contribution and the university's portion will be placed on deposit with ORP account. Funds will be distributed as requested by the employee at the time he or she is enrolled. Some of the key points of the Optional Retirement Program are as follows:

1) Premiums are invested in fixed common stock funds and variable accounts as decided by the employee.

2) Ownership of an ORP account is immediate for the employee's funds but require a five-year vesting period for the University contributions. The annuities do not provide use for collateral on a loan. If an employee leaves the University before completing the five-year vesting period and is employed with another University or college that does not offer participation with one of the current Optional Retirement Program carriers for ECU, the following options would be available:

a. The employee could repurchase his/her investment.

b. The employee could elect a 12-month delay option. If re-employed within 12 months from date of separation at ECU with a University or college that offers participation with one of the ORP carriers, all funds contributed to the ORP carrier during employment with ECU would be vested immediately.

c. The employee could leave his funds in the ORP account and ECU would receive reimbursement for its contribution.

If an employee leaves the University before completing the five-year vesting period and is employed by a University or college that will allow him/her to participate with a like ORP carrier at ECU, all funds are immediately vested.

3) ORP contracts do not contain a disability benefits provision. A disabled participant may wish to start annuity income payments with the amount of income depending upon the same factors that determine the amount of income if benefits began under normal circumstances.

4) In the event of death of the employee, the full current value of ORP contract, including the portion bought by the employers, is paid as an income to the designated beneficiary. There is no additional death benefit provision under ORP.

5) There are several options provided by ORP to the employee at retirement time.

6) Employees enrolled in ORP are provided coverage under the NC Disability Income Plan as outlined in the state retirement handbook. Participation is based upon the same factors as if the employee enrolled in TSERS.

Revise and keep in the Faculty Manual and include in the University Policies Manual.

Privileges for Retired Faculty

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

1. **ECU Retired Faculty Association**
   http://www.ecu.edu/ecurfa
2. **Parking permits**
   http://www.ecu.edu/parking/standard_manual.cfm
4. **ECU 1 Card**
   http://www.ecu.edu/1card/getthecard.cfm
5. **E-mail**
   http://www.ecu.edu/cs-itcs/email/FacultyStaffEmail.cfm
6. **Student Recreation Center membership**
   http://www.ecu.edu/cs-studentlife/crw/membership/faculty.cfm
   http://www.ecu.edu/cs-studentlife/crw/membership/fees.cfm
7. **Joyner Library access**
   http://www.ecu.edu/cs-lib/accesssrv/circulation/circpolicy.cfm
8. **Laupus Library access**
   http://www.ecu.edu/cs-dhs/laupuslibrary/circulation.cfm

~~2. Privileges for Retired Faculty~~

~~a. The following privileges are awarded to retired faculty:~~

~~1) Use of campus addresses that include a post box and electronic mail account for a period of at least one year, subject to availability. After the initial one year period, electronic mail accounts will be deactivated if they are not used for a 90-day period. If the retiree does not request activation of the account within 90 days of deactivation, the University will remove the account from the email system. (University Administrative Policy #1.902)~~

~~2) Right to be included in the University catalogues and directories.~~

~~3) Continuance of eligibility to take one course per semester without fees, subject to class availability.~~

~~(Prior to age 65, retired faculty are not eligible to participate in the system-wide tuition waiver program. As stated in the university catalogs, "persons 65 years of age or older who meet the requirements for in the in-state rate of tuition and the university requirements for admission can have their tuition and fees waived provided space is available in the requested course{s}".)~~

~~4) Access to library services under the same conditions as active faculty, subject to space availability.~~

~~5) Continuance of eligibility to purchase tickets to inter-collegiate athletic, cultural, and entertainment events under the same conditions as active faculty.~~

~~6) Access to the University Employee Assistance Program and Provider Directory when such services are available (Faculty Senate Resolution #05-51)~~

~~(7) University identification card upon request.~~

~~8) Fully retired faculty may request a free B parking permit and may also park in spaces designated "Retired Faculty." Faculty in phased retirement and retired faculty who are re-employed by the university may request a free B parking permit and may upgrade the B permit to an A permit (by paying the price difference between an A and a B permit) while bypassing the wait-list, but may not park in spaces designated "Retired Faculty. (Faculty Senate Resolution #07-15, June 2007)~~

Add New Subsection with LINK to this subsection in Faculty Marshals, Mace Bearer, and Academic Apparel subsections.

K. Emeritus faculty privileges

Upon the recommendation of the unit personnel committee, unit head, appropriate dean, and appropriate vice chancellor, the chancellor may grant the faculty retiree emeritus status (as

defined in 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.

~~b. Upon the recommendation of the unit personnel committee, unit head, appropriate dean, and appropriate vice chancellor, the chancellor may grant the faculty retiree emeritus status (as defined in Appendix C.) which includes the items listed above under Section I.I.2.a. and, in addition, the following privileges:~~
~~1) Access to recreational facilities under the same conditions as active faculty.~~
~~2) Continuance of eligibility to march, wearing appropriate regalia, in University commencement exercised and other University formal processions, as active faculty.~~
~~(FS Resolution #07-26, December 2007)~~

Revise and keep in the Faculty Manual.
L. Travel and Expense Allowances
Parking and Traffic Services oversee the statutory provisions governing travel and expense allowances. http://www.ecu.edu/parking/

~~1. Statutory Provisions Governing Travel and Expense Allowances~~
~~Under no circumstances may duplicate reimbursement be made for that portion of an employee's expenses paid or reimbursed by a nonstate source. All travel is contingent upon the availability of funds in the proper budget subheads. Travel on official business by employees of East Carolina University shall be reimbursed at rates as set forth by legislation.~~
~~a. For transportation by privately owned automobile, the employee will receive actual cost of road, bridge, and ferry tolls paid and a set amount per mile if a state car is not avail able and this is the cheapest method of transportation.~~
~~b. For transportation by airline, bus, railroad, actual tourist class fare will be allowed. Receipt for charges must be attached to reimbursement form.~~
~~c. The use of a rental automobile will be authorized only when it is the most economical method of travel or it is the only feasible method of available transportation. Approval for rental must be obtained in advance. Receipt is required for reimbursement.~~
~~d. Except as otherwise provided by specific law, each state officer and employee authorized to receive reimbursement from the state treasury for travel and other expenses incurred incident to the performance of official duties shall be reimbursed for such expenses only as described in the *ECU Business Manual*.~~
~~e. The state regularly allows reimbursement for registration fees. However, the state will consider requests for reimbursement over the maximum limit set. Requests, accompanied by a copy of brochures, fee schedules, or other material listing the costs included in the fee, should be made on the petition to travel and submitted according to the designated deadlines.~~
~~2. State Policies Regarding Travel~~
~~All travel must have written authorization. Full documentation and explanation are required for all travel out of state and out of country. All reimbursement requests shall be filed for approval and payment made with thirty days after the end of the travel period for which reimbursement is being requested.~~
~~a. Private Cars~~
~~State employees may use their private cars at a set reimbursement rate per mile if a state car is not available and air coach is more expensive or not feasible and such use is to the state's advantage. Reimbursement is limited to direct road map mileage between the stops on the employees' itinerary. State employees on state business may use their private cars for personal convenience at a set reimbursement rate or air coach rate, whichever is less, with subsistence expense being reimbursable only for the period required for airplane travel.~~

~~Mileage rates include all charges incurred of any nature except tolls. Receipts for tolls are required for reimbursement.~~

~~Reimbursement may not be made for commuting between an employee's home and his or her duty station. Any designation of an employee's home as his or her "duty station" by a unit head shall require prior approval by the office of State Budget and Management on an annual basis, no later than the second week of December each year. The state auditor shall in the routine audit of a department determine compliance with this provision. Generally, reimbursement of expense for airport parking is limited to 48 hours with receipt required for any charges. Reimbursement can be claimed for two round trips to the airport or one round trip and parking. However, the reimbursable parking charge cannot exceed the cost of the second round trip.~~

~~b. Taxis and Limousines~~

~~The actual cost of taxi and limousine fares is reimbursable when required for travel on state business. Taxi fares are not reimbursable for inter-city transportation, except in emergencies when no less expensive mode of transportation will be available within a reasonable period.~~

~~c. Rental Cars~~

~~Use of a rental automobile will be authorized only when it is the most economical method of available travel or it is the only feasible method of transportation.~~

Faculty Senate Agenda
March 30, 2010
Attachment 16.

FACULTY WELFARE COMMITTEE REPORT

Proposed revisions to the *ECU Faculty Manual*,
Part VI. Section III Institutional Services Available to Faculty,
Subsection R. Tuition Privileges for Faculty

(Additions are noted in **bold** print and deletions in ~~strikethrough~~.)

Revise and keep in the Faculty Manual.

R. Tuition Privileges for Faculty

East Carolina University faculty and staff are eligible to take classes at a reduced cost. See http://www.ecu.edu/cs-admin/financial_serv/cashier/Tuition-Waiver.cfm for more information.

~~Subject to the University of North Carolina Board of Governors' policy, full-time faculty who are eligible for membership in a state-supported retirement plan will be allowed free tuition for one course per school term for classes attended outside of the required work hours. See *ECU Business Manual.*~~

Faculty Senate Agenda
March 30, 2010
Attachment 17.

FACULTY WELFARE COMMITTEE REPORT

Proposed revisions to the *ECU Faculty Manual*,
Part VI. Section IV. Employment of Related Persons

Remove from Faculty Manual and place elsewhere in University Policy Manual with a LINK to the UNC Policy.

~~V. Employment of Related Persons (Formerly *Appendix H*)~~

~~A. Basic Principles~~

~~Consistent with the principle that university employees and prospective employees shall be evaluated on the basis of individual merit, without reference to considerations of race, sex, religion or national origin, or any other factors not involving personal professional qualifications and performance, the following restrictions, designed to avoid the possibility of favoritism based on family or personal relationship, shall be observed with respect to institutional personnel who are not subject to the State Personnel Act:~~

1. ~~Related persons shall not serve concurrently within the institution in any case where one such related person would occupy a position having responsibility for the direct supervision of the other related person.~~
2. ~~With respect to proposed employment decisions which would result in the concurrent service of related persons within the same academic department (or other comparable institutional subdivision of employment), a person related to an incumbent employee may not be employed if the professional qualifications of other candidates for the available position are demonstrably superior to those of the related person.~~
3. ~~With respect to the concurrent service of related persons within the same academic department (or other comparable institutional subdivision of employment), neither related person shall be permitted, either individually or as a member of a faculty, or as a member of a committee of a faculty, to participate in the evaluation of the other related person.~~

~~B. Definition of "Related Persons"~~

~~The following relationships are sufficiently immediate to invoke the prohibitions against concurrent service of related persons:~~

~~1)Parent and child; 2) Brothers and sisters; 3) Grandparent and grandchild; 4) Aunt and/or uncle and niece and/or nephew: 5) First cousins; 6) Step-parent and step-child: 7) Step-brothers and step-sisters; 8) Husband and wife; 9) Parents-in-law and children-in-law; 10) Brothers-in-law and sisters-in-law; 11) Guardian and ward; 12) Persons engaged in amorous relationships; an amorous relationship exists when, without the benefit of marriage, two persons voluntarily have a sexual union or are engaged in a romantic courtship (e.g. dating or engaged to be married) that may or may not have been consummated sexually.~~

~~C. Effective Date~~

~~The provisions of this policy shall be applicable prospectively only, with reference to appointments made after the adoption date of the policy.~~

~~D. Employees Subject to the State Personnel Act~~

~~With respect to university employees who are subject to the State Personnel Act (SPA), applicable restrictions concerning the concurrent service of related persons shall be those adopted by the state personnel board.~~

~~E. Each chancellor shall report annually to the board of trustees, at the regular meeting falling closest to the date of commencement, concerning all specific cases during the preceding year in which the terms of this policy were applied.~~

~~(Administrative Memorandum #360, 18 March 1996, UNC Board of Governors)~~

Faculty Senate Agenda
March 30, 2010
Attachment 18.

FACULTY WELFARE COMMITTEE REPORT

Proposed revisions to the *ECU Faculty Manual*,
Part VI. Section VI. Equal Employment Opportunity/Affirmative Action Policy

(Additions are noted in **bold** print and deletions in ~~strikethrough~~.)

Revise and keep in the Faculty Manual.

VI. **Diversity,** Equal Employment Opportunity, Affirmative Action Policy ~~(Formerly *Appendix K*)~~

East Carolina University celebrates diversity among its faculty, staff, and students, and promotes equal opportunities for all, regardless of race, religion, color, creed, national origin, gender, age, sexual orientation, or disability To that end, the Office of Equity, Diversity and Community Relations develops policies in accordance with federal and state laws, and with UNC and ECU policies. See University Policy Manual (add LINK).

~~East Carolina University is committed to equal opportunity for all members of the university community. In addition, it will take affirmative action to increase recruitment and hiring of black and female faculty and staff. The following is the Equal Employment Opportunity Policy as it appears in the East Carolina University Affirmative Action Plan (1983-1986). East Carolina University is committed to equality of educational opportunity and does not discriminate against applicants, students, or employees based on race, color, national origin, religion, veteran's status, gender, age, sexual orientation, political affiliation, or disability. (Faculty Senate Resolution #03-37, September 2003)~~

~~East Carolina University's policy on nondiscrimination and its affirmative action program are consistent with, and pursuant to, the guidelines set forth in Executive Order 11246 with its implementing regulations. The East Carolina University Affirmative Action Program implements guidelines set forth under Titles VI and VII of the Civil Rights Act; Title IX of the Education Amendments of 1972; Sections 799A and 845 of the Public Health Service Act; the Equal Pay Act; Sections 503 and 504 of the Rehabilitation Act of 1973; the Age Discrimination in Employment Act of 1976; and the Vietnam Veterans Readjustment Assistance Act of 1974 as amended. Appropriate equal opportunity clauses are included in purchase agreements as required.~~

~~The university's policy is consistent with North Carolina General Statutes 126-16: "All state...agencies...of North Carolina shall give equal opportunity for employment, without regard to race, religion, color, creed, national origin, sex, age, or physical disability to all persons qualified, except where specific age, sex, or physical requirements constitute bona fide occupational qualifications necessary to proper and efficient administration. This section with respect to equal opportunity as to age shall be limited to individuals who are at least 40 years of age but less than 70 years of age." It is also consistent with *The Code* of The University of North Carolina, Section 103: "Admission to, employment by, and promotion in The University of North Carolina and all of its constituent institutions shall be on the basis of merit, and there shall be no discrimination on the basis of race, color, creed, religion, sex or national origin...."~~

~~In addition, East Carolina University prohibits sexual harassment of students, faculty, or staff members. Sexual harassment is defined as deliberate, unsolicited, unwelcomed verbal and/or physical conduct of a sexual nature or with sexual implications. The definition does not include personal compliments welcomed by the recipient or relationships which are freely entered into by both parties. East Carolina University is committed to providing and promoting an atmosphere in~~

which employees realize their maximum potential in the workplace and students can engage fully in the learning process. Accordingly, sexual harassment by and of both employees and students is prohibited by this policy.

East Carolina University, as part of its continuing affirmative action efforts, endorses the following:

1. It is illegal and against the policies of East Carolina University for any employee to sexually harass another employee by:
   a. making unwelcomed sexual advances or requests for sexual favors or other verbal or physical conduct of a sexual nature a condition of an employee's continued employment, or
   b. making submissions to or rejections of such conduct the basis for employment decisions affecting the employee, or
   c. creating an intimidating, hostile, or offensive working environment by such conduct.
2. It is against the policies of East Carolina University for any employee to sexually harass a student by:
   a. making unwelcomed sexual advances or requests for sexual favors or other verbal or physical conduct of a sexual nature a condition of a student's grade, progress, or recommendation or
   b. creating an intimidating, hostile, or offensive learning environment by such conduct.

Sexual harassment shall hereinafter be deemed a form of discrimination based on sex as prohibited by Section 703 of Title VII of the Civil Rights Act, by North Carolina General Statute 126-16 (employees), and by Title IX of the Education Amendments Act of 1972 (students).

A. Responsibilities

Responsibility for implementation of these policies rests with the chancellor. The vice chancellors, the dean of the College of Arts and Sciences, deans of professional schools, department chairpersons, and principal administrative directors are delegated responsibility for implementing these policies. They will assure that decisions involving recruitment, selection, appointment, and promotion of faculty and staff at all levels are made in a nondiscriminatory manner and in accordance with the goals of the Affirmative Action Plan. The chancellor has also appointed the director of Equal Opportunity Programs to coordinate all aspects of the Affirmative Action Plan, initiate programs to assist in reaching the goals of the Affirmative Action Plan, maintain a record system, identify problem areas, and assist faculty and staff and students to resolve problems. This individual is assisted by the associate director of Equal Opportunity Programs.

B. Grievances

Any student of East Carolina University who has a complaint of discrimination should follow the procedure outlined in the *Student Government Association Documents*. Current, former, or prospective faculty or staff who have complaints should follow the procedure outlined in the Affirmative Action Plan and in the grievance procedure set forth in *Appendix J, Informal Faculty Grievance Procedure for Grievances Involving Sex Discrimination and Other Equal Employment Opportunity Complaints*. Copies of the complete Affirmative Action Plan are available in Joyner Library, Health Sciences Library, office of Equal Opportunity Programs, department of Human Resources, and the office of each vice chancellor.

(Approved: 30 June 1983, East Carolina University Chancellor)

FACULTY WELFARE COMMITTEE REPORT

Proposed revisions to the *ECU Faculty Manual*,
Part VI. Section VII. A. Substance Abuse Policy

Remove from Faculty Manual and place elsewhere in University Policy Manual.

~~VII. Other Personnel Policies~~

~~A. Substance Abuse Policy (Formerly *Appendix T*)~~

~~East Carolina University is dedicated to the pursuit and dissemination of knowledge and, as such, expects all members of the academic community to behave in a manner conducive to that end. 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.~~

~~Accordingly, the East Carolina University Board of Trustees adopts the following policy, consistent with The UNC Board of Governors' Policy on Illegal Drugs. The policy is intended to accomplish the following:~~

- ~~prevent substance abuse through a strong educational effort;~~
- ~~encourage and facilitate the use of counseling services and rehabilitation programs by those members of the academic community who require their assistance in stopping substance abuse; and~~
- ~~discipline appropriately those members of the academic community who engage in illegal drug or alcohol related behaviors.~~

~~1. Educational Efforts to Prevent Substance Abuse~~

~~In keeping with its primary mission of education, East Carolina University will conduct a strong educational program aimed at preventing substance abuse and illegal drug or alcohol use. Educational efforts shall be directed toward all members of the academic community and will include information about the incompatibility of the use or sale of illegal substances with the goals of East Carolina University; the health hazards associated with illegal drug or alcohol use; the incompatibility of substance abuse with the maximum achievement of educational, career, and other personal goals; and the potential legal consequences of involvement with illegal drugs or alcohol.~~

~~2. Counseling and Rehabilitation Services to Prevent Substance Abuse~~

~~Those faculty, staff, or students who seek assistance with a substance abuse related problem shall be provided with information about drug counseling and rehabilitation services available through East Carolina University and also through community organizations. Those who voluntarily avail themselves of university services shall be assured that applicable professional standards of confidentiality will be observed.~~

~~3. Disciplinary Actions to Prevent Substance Abuse~~

~~Students, faculty members, administrators, and other employees are responsible, as citizens, for knowing about and complying with the provisions of North Carolina law that make it a crime to possess, sell, deliver, or manufacture those drugs designated collectively as "controlled substances" in Article 5 of Chapter 90 of the North Carolina General Statutes. Any member of the university community who violates that law is subject both to prosecution and punishment by the civil authorities and to disciplinary proceedings by the university.~~

~~It is expected that East Carolina University students, faculty members, administrators, and other employees who use or possess alcoholic beverages will do so as legally prescribed~~

~~by the laws of the State of North Carolina, within the regulations of East Carolina University, and in a manner which does not disrupt the lives of others.~~
~~A person whose conduct is outside these parameters will be subject to the judicial rules and procedures of the university.~~

~~It is not "double jeopardy" for both the civil authorities and the university to proceed against and punish a person for the same specified conduct. The university will initiate its own disciplinary proceedings against a student, faculty member, administrator, or other employee when the alleged conduct is deemed to affect the interests of the university.~~

~~Penalties will be imposed by the university in accordance with procedural safeguards applicable to disciplinary actions against students, faculty members, administrators, and other employees, as required by *Appendix D, Tenure and Promotion Policies and Procedures of ECU*, by board of governors' policies applicable to the employees exempt from the State Personnel Act, by the East Carolina University Student Judicial System, and by regulations of the State Personnel Commission.~~

~~The penalties to be imposed by the university may range from written warnings with probationary status to expulsions from enrollment and discharges from employment.~~
~~[1]However, the following minimum penalties shall be imposed for the particular offenses described.~~

~~a. Trafficking in Illegal Drugs~~

~~(1) For the illegal manufacture, sale or delivery, or possession with intent to manufacture, sell or deliver, of any controlled substance identified in Schedule I, NC General Statutes 90-89, or Schedule II, NC General Statutes 90-90 (including, but not limited to, heroin, mescaline, lysergic acid diethylamide, opium, cocaine, amphetamine, methaqualone), any student shall be expelled and any faculty member, administrator, or other employee shall be discharged.~~

~~(2) For a first offense involving the illegal manufacture, sale or delivery, or possession with intent to manufacture, sell or deliver, of any controlled substance identified in Schedules III through VI, NC General Statutes 90-91 through 90-94, (including but not limited to, marijuana, pentobarbital, codeine) the minimum penalty shall be suspension from enrollment or from employment for a period of at least one semester or its equivalent. For a second offense, any student shall be expelled and any faculty member, administrator, or other employee shall be discharged.~~

~~b. Illegal Possession of Drugs~~

~~(1) For a first offense involving the illegal possession of any controlled substance identified in Schedule I, NC General Statutes 90-89, or Schedule II, NC General Statutes 90-90, the minimum penalty shall be suspension from enrollment or from employment for a period of at least one semester or its equivalent.~~

~~(2) For a first offense involving the illegal possession of any controlled substance identified in Schedules III through VI, NC General Statutes 90-91 through 90-94, the minimum penalty shall be probation, for a period to be determined on a case-by-case basis. A person on probation must agree to participate in a drug education and counseling program, consent to regular drug testing, and accept such other conditions and restrictions, including a program of community service, as the chancellor or the chancellor's designee~~

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[1]State personnel policy provides that employees subject to the State Personnel Act may not be suspended from employment for punitive reasons for more than three days. Whenever this policy mandates "suspension" of an employee subject to the State Personnel Act as a minimum penalty, that employee must instead be terminated in accordance with the state personnel policy.

deems appropriate. Refusal or failure to abide by the terms of probation shall result in suspension from enrollment or from employment for any unexpired balance of the prescribed period of probation.

(3) For second or other subsequent offenses involving the illegal possession of controlled substances, progressively more severe penalties shall be imposed, including expulsion of students and discharge of faculty members, administrators, or other employees.

c. Possession and Use of Alcohol

(1) For offenses involving the illegal possession, use, sale, and/or distribution of alcohol in violation of NC General Statutes 18B-300 & 12B-301 & 302; 18B-1006(a); or Greenville Ordinance No. 812-1-2, a student will be subjected to a progressive penalty system based on the type of infraction and the circumstances involved. Penalties may be warning, probation, fine, volunteer community service, and/or removal from the residence system or the university.

(2) In certain circumstances, involvement in an alcohol education and/or counseling program may be offered to a student in lieu of being referred to the Honor Board with a recommendation for suspension. Specifically, a student given this option will be required to participate in a program of assessment, education, and counseling; pay a fee of sixty dollars, and be placed on university probation. A student may participate in this program only once in lieu of disciplinary action.

(3) University employees subject to the State Personnel Act may be disciplined in accordance with the rules and regulations for personal misconduct, i.e., final written warning, which may include a three day suspension without pay, or dismissal.

When a student, faculty member, administrator, or other employee has been charged by the university with a violation of policies concerning illegal drugs or alcohol, he or she may be suspended from enrollment or employment before initiation or completion of regular disciplinary proceedings if, assuming the truth of the charges, the chancellor or, in the chancellor's absence, the chancellor's designee concludes that the person's continued presence within the university community would constitute a clear and immediate danger to the health or welfare of other members of the university community, provided, that if such a suspension is imposed, an appropriate hearing of the charges against the suspended person shall be held as promptly as possible thereafter.

In the case of employees, anyone convicted of a criminal drug statute violation occurring in the work place shall notify the university no later than five days after such a conviction. The university will commence disciplinary action against such an individual within thirty days of notice of the conviction.

4. Responsibilities Under This Policy

Authority to implement the policy shall reside in the chancellor. The chancellor shall designate a coordinator of drug and alcohol education who shall, acting under the authority of the chancellor, be responsible for overseeing all actions and programs relating to this policy. All employees and students shall be responsible for abiding by the provisions of this policy. In the case of employees, adherence with the provisions of the policy shall be a condition of employment. The chancellor will render an annual report to the board of trustees on the effectiveness of this policy.

5. Dissemination of This Policy

A copy of this policy shall be given annually to each employee and to all new employees at the beginning of their employment. Each student shall receive a copy and new students shall be given a copy during orientation. The policy shall be printed in appropriate student documents and posted on official bulletin boards of the university.

(Approved: October 5, 1990, East Carolina University Board of Trustees)

Faculty Senate Agenda
March 30, 2010
Attachment 20.

FACULTY WELFARE COMMITTEE REPORT

Proposed revisions to the *ECU Faculty Manual*,
Part VI. Section VII. C. Serious Illness and Disability Leave for Faculty Policy

Based upon feedback from individual faculty and various faculty constituencies in reference to the Memorandum from Academic Council on January 25, 2010, the Faculty Welfare Committee is in agreement with separation of faculty serious illness and disability leave (FSIL) and parental leave policies, as well as bullet points #1 and #2.

The Faculty Welfare Committee suggests amendment to bullet point #3 that the provision for parental leave will be 12 calendar weeks. Primary caregiver of a birth, adopted, or foster child be eligible to take up to 12 weeks of paid leave, whether this caregiver is the mother, the father, or an individual serving in loco parentis. The secondary caregiver, if also employed as a qualifying faculty member by the University, would be eligible to take 21 days of paid leave in addition to the primary caregiver's paid leave of 12 weeks. No employee may be eligible to take both 12 calendar weeks as maternity leave and 21 days of paid leave as parental leave for the same qualifying event.

Revise policy and remove from Faculty Manual. Place this administrative policy in University Policy Manual with a link in the Faculty Manual.

~~C. Serious Illness and Disability Leave for Faculty Policy~~

~~The purpose of this policy is to provide permanent faculty who do not currently earn sick leave with paid leave for cases of a serious health condition, maternity leave, or parental leave as defined under the Family and Medical Leave Act (FMLA). The purpose of this policy is also to coordinate leaves granted under federal and state acts such as the FMLA [29 U.S.C. § 2601, et seq.], the North Carolina Family Illness Act (NCFIA) [SB1115, Section 28.3B], and the UNC Policy on Serious Illness and Disability Leave for Faculty [UNC Policy 300.2.11(G)]. All three policies cover the same serious health conditions, maternity leave or parental leave. This policy supplements the FMLA and NCFIA to provide for a period of paid leave rather than such leave being unpaid. This policy does not apply to brief absences of 14 calendar days or less that are usually accommodated informally. This policy is intended to apply to short-term and intermediate-term disability of up to one year. Exceptional cases may be considered by the University.All eligible East Carolina University faculty members with a medically verifiable serious health condition as defined below are covered under this policy. The review by university administrators focuses exclusively on verifying the documentation of the condition.~~

~~Granting or denial of a request for a leave under this policy shall be made without regard to the faculty member's race, color, national origin, religion, gender, age, sexual orientation, political affiliation, disability, or personal malice.~~

~~I. Definitions~~

~~For purposes of this policy a brief absence is defined as fourteen (14) calendar days or less. The following definitions are applicable to the Family and Medical Leave Act (FMLA), the North Carolina Family Illness Act (NCFIA) and ECU's Policy on Serious Illness and Disability Leave for faculty:~~

~~A serious health condition is defined as (a) an illness, injury, impairment, or physical or mental condition that involves either inpatient care in a hospital, hospice, or residential medical care facility, or that involves continuing treatment by a health care provider; (b) any period of incapacity requiring~~

an absence from work of more than fourteen calendar days that also involves continuing treatment by a health care provider; or (c) continuing treatment by a health care provider for conditions so serious that, if not treated, would likely result in an absence of more than ten workdays. Prenatal care is also included. The period of actual physical disability associated with childbirth is considered a serious health condition and must be taken as family/medical leave, whether as paid or unpaid leave.

Immediate Family - spouse, parents, children (including step relationships), or other legal dependents who require the faculty member's care.
Parent - a biological or adoptive parent or an individual who stood *in loco parentis* (a person who is in the position or place of a parent) to an employee when the employee was a child.
Child - a son or daughter who is under 18 years of age or is 18 years of age or older and incapable of self-care because of a mental or physical disability. Child would include: (a) biological, (b) adopted, (c) foster, (d) step-child, (e) legal ward, and (f) child of an employee standing *in loco parentis* as defined above.
Immediate Supervisor - Normally, the immediate supervisor is the individual who is the head of the code unit. However, in code units that describe department structures, the immediate supervisor is the department head/chair.

FMLA provides for a period of up to 12 weeks of unpaid leave for a serious health condition, maternity leave, or parental leave. NCFIA provides for up to 52 weeks of unpaid leave in a five-year period in cases of serious illness of a child, spouse, or parent.

Applicable vice chancellor - The applicable vice chancellor is the Provost/Vice Chancellor for Academic Affairs or the Vice Chancellor for Health Sciences, whoever is appropriate for the particular faculty member.

Start Date - The period of paid leave under this policy begins with the first day of the absence from University contractual duties resulting from such illness or disability. If a leave begins as a brief illness, then results in a more serious condition that warrants use of the Serious Illness Leave policy, the period of paid leave under this policy will revert back to the first day of absence.

II. Eligibility
This policy applies to persons holding regular full-time faculty appointments who are eligible for participation in either the North Carolina Teachers and State Employees Retirement System or the Optional Retirement Program, and who are not eligible to earn sick leave under any other state or institutional leave policy. If a faculty member has been in a previous leave-earning position and has an accumulated sick leave balance, the faculty member must exhaust any previous sick leave balance prior to requesting coverage under this policy. Part-time permanent faculty holding appointments of at least 75% are also covered under this policy.

III. Benefit
(A) In all cases, leave granted under this policy shall be in increments that are appropriate to the facts and circumstances surrounding the illness or disability, the academic calendar, the needs of the unit, and the responsibilities of the faculty member. Leave taken under this Serious Illness policy shall run concurrently with FMLA leave and/or with the statutory provisions of the North Carolina Family Illness Act. Any leave under this policy will count as part of the 52 week allowable total under the NCFIA and/or as part of the 12 week allowable total under the FMLA.
(B) A faculty member who has a medically verifiable illness or disability, with proper medical documentation, as defined under FMLA, or whose immediate family member has a medically documented, verifiable illness, may elect to request a paid leave of absence for up to 15 calendar weeks in accordance with Section V. Such a request must be reviewed by the immediate supervisor and the dean with notification of the action taken submitted to the appropriate vice chancellor and the

~~Office of Human Resources.~~
~~(C) If the illness or disability requires an absence from faculty duties in excess of the 15 calendar weeks, the faculty member may elect to petition for an extension of paid leave (see (E) below) or for a leave of absence without pay under procedures described in the *Faculty Manual* or under University policies implementing the FMLA or under statutory regulations of the NCFIA.~~
~~(D) The faculty member should consult with the Office of Human Resources regarding existing benefits through the Disability Income Plan or through other disability programs that may be offered to University employees on an optional basis.~~
~~(E) A faculty member who provides the appropriate additional medical documentation and whose illness or disability, or that of the family member, extends beyond the 15 weeks provided for under this Policy, may elect to submit a written request to the immediate supervisor for an extension of leave with pay up to a maximum of one year (determined by counting forward 12 months from the date the leave begins) at the discretion of the University. More than one serious illness or disability leave may be granted in a 12-month period, but the total maximum allowable paid leave for all such serious illnesses may not exceed one year in length. Such requests must be reviewed by the appropriate dean, vice chancellor, and the Associate Vice Chancellor for Human Resources. Additional leave with pay in excess of the limits may be granted in exceptional cases at the discretion of the university.~~
~~(F) Additional leave requires leave of absence without pay.~~
~~(G) The immediate supervisor may require such medical documentation or certifications, second or third medical opinions (at the university's expense) or other documentation of the need for leave, probable length of absence from normal duties, ability to return to work, or intent to return to work as it may deem necessary.~~
~~(H) When the request is to care for a member of the faculty member's immediate family, the University will also require satisfactory evidence that the faculty member will exercise primary responsibility for the care of those who would qualify the faculty member for leave under this policy.~~
~~(I) Leave offered under this policy is *not* allowable as terminal leave payment when the faculty member leaves the employment of the University. Unused leave shall not accumulate nor be carried forward from one academic year or calendar year to the next. It may not be used to extend years of creditable state service for retirement benefits. However, it may be exhausted prior to participation in the Disability Income Plan of North Carolina that is provided to eligible state employees.~~
~~(J) It is the intent of this Policy that faculty members receive the benefits defined herein during the period(s) in which they have a contractual commitment to the University.~~

~~IV. Use of Leave~~
~~The period of leave provided under this policy may be used for medically verifiable sickness or injury as defined under the FMLA. Use of such leave includes the birth of a child and to care for the newborn child after birth or for temporary disability connected with childbearing and recovery, which prevents the faculty member from performing usual duties. Leave also may be used for the placement of or to care for a child placed with the employee for adoption or foster care, and/or for a serious health condition of the employee that prevents the employee from performing the essential functions of his/her job. In accordance with ECU's policy on leave granted under the Family and Medical Leave Act, a faculty member may seek leave needed as a consequence of a medically verifiable illness/disability of a member of the immediate family, as defined in Section I. of this policy.~~

~~A faculty member who anticipates the need for a temporary leave shall notify his or her immediate supervisor in writing as soon as possible.~~

~~If the faculty member's request is for the purpose of caring for an immediate family member, the immediate supervisor may request medical verification of the illness or disability of that person and~~

~~may also inquire about the circumstances which make it impossible or difficult for the faculty member to carry on with normal duties.~~

~~When the request is for the care of the faculty member's family member or dependent, the immediate supervisor may base the recommendation on other factors, including the needs of the unit, timing within the academic year, effect on students, ability of the unit to compensate for the absence, etc.~~

~~Female faculty shall not be penalized because they require time away from work caused by or contributed to by pregnancy, miscarriage, abortion, childbirth or recovery. Disabilities resulting from pregnancy shall be treated the same as any other temporary disability. The type and nature of the faculty member's duties during pregnancy shall be determined by the faculty member's immediate supervisor in consultation with the faculty member and upon advice she receives from her physician.~~

~~V. Administration of Benefit~~
~~It is the responsibility of the faculty member to request the use of leave provided by this policy as soon as possible upon learning of the need for the leave. This request will be made to the faculty member's immediate supervisor. The request for leave shall include an estimate of the amount of time the faculty member is expected to be on leave. The faculty member will notify his or her immediate supervisor if the estimate materially changes.~~

~~Such requests must be in writing, but there may be instances where the employee is unable to make the request by completing the necessary forms at the Office of Human Resources web site or via a letter. All conditions covered by this serious illness and disability leave policy cannot be anticipated. The policy provided herein is expected to be appropriate in most situations. However, in unusual cases, the faculty member or other responsible party may be unable to provide the necessary notification. In those rare instances where the employee or a member of the employee's family is unable to make the necessary request, it is the responsibility of the immediate supervisor to consult with a Human Resources benefits counselor for direction.~~

~~The immediate supervisor will review the request and forward the documentation to the dean. The dean is responsible for reviewing the documentation and consulting with the Office of Human Resources. The dean will provide written notification of the decision to the immediate supervisor, who will then advise the faculty member. The dean will provide a copy of the notice to the appropriate vice chancellor and to the Office of Human Resources. If leave is denied, the written notification will include the grounds for denial.~~

~~In the case of a request for leave beyond the initial 15 week period, the request must also be reviewed by the appropriate vice chancellor and the Associate Vice Chancellor for Human Resources. The person responsible for notifying the faculty member is the Associate Vice Chancellor for Human Resources. If leave is denied, the written notification will include the grounds for denial.~~

~~The immediate supervisor is responsible for securing, to the extent possible, substitute personnel for the duration of the faculty member's leave. Any adjustments in work schedules within the unit are at the discretion of the immediate supervisor with the approval of the dean and are subject to departmental and institutional needs and resources. In recommending approval of a leave, the immediate supervisor will develop a written plan to cover the responsibilities of the faculty member for the duration of the leave. Funding of substitute personnel is the responsibility of the appropriate vice chancellor.~~

~~Nothing in this policy shall prohibit other faculty members from "covering" for the faculty member on leave but only so long as the faculty member on leave complies with this leave policy.~~

~~VI. Appeals~~
~~A decision not to grant a request for leave under this policy may be appealed to the appropriate vice chancellor. The vice chancellor's decision may be appealed to the chancellor. Appeals of a negative decision must be made by the faculty member to the next higher level within ten (10) business days of receipt of the negative decision. The vice chancellor and chancellor must respond to an appeal within ten (10) business days of receipt of the appeal.~~

~~VII. Confidentiality~~
~~Communications concerning leave requested or granted under this policy are subject to the same confidentiality requirements as other personnel records in accordance with North Carolina law.~~

~~VIII. Record-Keeping~~
~~Because this policy provides an important financial benefit, accurate records on all requests for leave, whether or not the request is granted, must be maintained. The immediate supervisor shall be responsible for forwarding all records pertaining to the use of this policy to the Office of Human Resources. The Office of Human Resources will maintain the official records concerning requests for leave under this Policy, and may, from time to time, be required to make general reports on its use to other University administrators and to the Faculty Senate.~~

~~IX. Coordination with Other Policies~~
~~ECU's *Faculty Manual* indicates that leaves from all employment obligations which are granted to probationary-term faculty may include extension of the length of the probationary term. It is the responsibility of the faculty member to review the pertinent sections and determine the impact such leave would have on their probationary term.~~

~~A permanently tenured faculty member granted leave under this policy may have his or her five-year cumulative review delayed by a period agreed upon by the faculty member, the faculty member's immediate supervisor, the dean, and the appropriate vice chancellor.~~

~~The terms of this policy pertain only to a leave for a specified period because of illness or disability. This policy has no effect on provisions for other types of leave as described in the *Faculty Manual*.~~

~~The leave provided for under this policy shall have no effect on the faculty member's other employment benefits.~~

~~X. Effective Date~~
~~This policy shall become effective immediately upon approval by the Board of Trustees of East Carolina University and shall supersede any previous authority granting leave for faculty, if any. (Approved: May 6, 2005, East Carolina University Board of Trustees)~~