

4-4.1 FACILITIES

Use of University Property

Faculty members and other employees are not permitted to hold classes, workshops, or other such projects in University buildings, or to use University equipment for private gain. All classes or instructional projects involving any collection of money are to be handled through the Controller's Office.

Professors as well as physical plant staff, should be concerned about the physical appearance of their classrooms. If classrooms are not meeting expectations, please contact the Director of the Physical Plant. Lights should be turned off when one leaves classrooms.

Professors who enter buildings by unlocking doors should lock the doors behind them or upon leaving the building. A professor who unlocks a door is responsible for the students who enter the building through that door while it remains unlocked.

Maintenance of Buildings

The maintenance of buildings falls under the immediate supervision of the Director of Physical Plant. A Work Order should be submitted (workrequest@papa by email) to Physical Plant to request routine repairs to buildings. For emergency service and janitorial service, call extension 6233.

In case of emergency after business hours, the Director of Physical Plant may be reached through the campus police (ext. 6235).

Requests or reports concerning major alterations or renovations should be directed, in writing, to the Vice Chancellor for Business Affairs, who is responsible for the general supervision of the maintenance and operation of the Physical Plant.

USE OF MOORE HALL

Scheduling of Moore Hall is done in the Office of the Vice Chancellor for Student Affairs. A Request for Use form must be filled out at least one week prior to the planned activity. Groups are expected to leave Moore Hall in the condition in which they found it. Use of the facility will be denied those who abuse it.

USE OF GIVENS PERFORMING ARTS CENTER

Use of the Givens Performing Arts Center is approved through the Office of the Vice Chancellor for Students Affairs. Request For Use forms are available from the Director of the Givens Performing Arts Center and should be completed and returned at least one month prior to the planned activity.

No food, drinks, or smoking are allowed in the auditorium of the Givens Performing Arts Center.

USE OF CHAVIS UNIVERSITY CENTER

Scheduling of the Chavis University Center is done in the Director of the University Center's office. Room reservation requests must be completed and filed with the Director of the University Center at least four (4) days prior to the event. All reservations are considered tentative and subject to cancellation until the Facility Request form has been approved by the Center's Director.

4-4.2 INSTITUTIONAL SERVICES

OFFICE OF UNIVERSITY COMPUTING AND INFORMATION SERVICES

The Office of University Computing and Information Services (UCIS) reports to the Provost and Vice Chancellor for Academic Affairs. The primary function of the office is to handle all aspects of computing and telecommunications for the University and provide the technical infrastructure and support needed to meet the mission of the University. The main office for UCIS is located in Room 120 of the Oxendine Science Building Annex. The Interactive Video Facility is located in Room 125 of the Business Administration Building and the User Services Training Lab is located in Room 256 of Old Main.

The Office of UCIS is responsible for administrative and academic computing, the campus data and video network, telecommunications, computer and software training, the campus NC-REN Interactive Video facility, University web site support, installation, service and repair of microcomputers, printers and peripherals, campus computer systems, and production processing of installed software and programs. UCIS also assists in the development and implementation of individual, group and institutional research projects. Test scoring capabilities, scanning, desktop publishing, word processing, presentation software, laptop and projector checkout and other capabilities are available to the faculty to facilitate their classroom instruction and professional development activities. The Office gathers, compiles, verifies and communicates institutional data to the University and General Administration.

UCIS is currently structured into two organizational units. One unit is responsible for academic and administrative computing support and the other unit is responsible for systems

and networking support.

The administrative and academic computing unit is responsible for all aspects of administrative and academic computing including Administrative Computing, User Services, the NC-REN Interactive Video facility and University Web site support. In the administrative environment, UCIS provides systems analysis, design and programming for the administrative application systems. Among these are Financial Records, Purchasing, Human Resources, Student Records, Financial Aid, Admissions, Fixed Assets and Alumni Development. In the academic environment, UCIS provides technical support for academic instruction, faculty computing support, student computing support, and student lab management. User Services supports the use of technology in teaching and learning and provides training for faculty, staff and students in the use of computers and production software such as MS Office, WordPerfect, presentation software, spreadsheets, databases, etc. The NC-REN Interactive Video facility contains a teleclassroom and teleconferencing room that support academic instruction and conferencing with other UNC institutions, community colleges, public schools and other organizations. University web site support includes maintaining the hardware, software, as well as system administration and technical support of the University's web servers.

The systems and networking unit is responsible for the campus computer systems, production processing of installed software and programs, installation, service and repair of microcomputers, printers and peripherals, the campus data and video network and telecommunications. The campus network consists of a fiber optic cable ring around campus for the main transport between all the buildings with CAT 5 and 5e wiring within buildings to support voice and data. UCIS provides connection of all campus computers to the data network allowing university faculty, staff and students access to resources on campus as well as the Internet². The campus network is connected to the North Carolina Research and Education Network (NC-REN) providing data and video connections to the outside world. Centralized computing service is provided through dual Compaq AlphaServer DS 20's (Administrative), Compaq AlphaServer 2100A (Academic), Compaq AlphaServer 2000 as well as Sun Enterprise e450 and e250 servers. UCIS also operates a number of Novel NetWare 5.1, Linux and Windows 2000 servers providing - file and printer services to the campus. Phone service is provided by an AT&T Definity G3V5 System 75 switch with a 1000 line capability and an OCTEL voice messaging system that also has 1000 lines. All full-time faculty have Pentium III, Pentium IV or Macintosh G3 or G4 computers with local printers in their office.

STATEMENT REGARDING POTENTIAL DISCLOSURE OF FACULTY DOCUMENTS AND COMMUNICATIONS

The North Carolina Public Records Act , N.C.G.S. Sec. 132-1, et seq. (the "Act,") provides, "The public records and public information compiled by agencies of the [North Carolina] Government . . . are the property of the people. It is the policy of this State that the

people may obtain copies of their public records and public information . . . unless otherwise specifically provided by law." This statute applies to UNCP and includes documents (whether email, voice mail, or paper documents, or in any other recorded format) made or received by faculty members within the scope of their duties. There are exceptions to this Act, but the Act is only one of the legal avenues that may be used to require disclosure of faculty documents and electronic communications. Other such legal avenues include, but are not limited to, search warrants that may be secured by law enforcement, subpoenas that may be issued by litigants' counsel, the courts, or certain State and federal agencies, and other court orders.

UNCP is currently working on development of a computer and communication equipment use policy that addresses the extent, if any, to which University systems may be used incidentally by employees, including faculty, for private emails or voice mails. However, such a policy will primarily address the extent, if any, to which the University will recognize a student's, faculty member's or other employee's expectation of privacy in such documents and communications when it is necessary to determine whether the University will, without an external legal mandate, access faculty documents, email, or voicemail. When adopted, that policy will not (and cannot) protect such documents, email and voicemail from disclosure pursuant to search warrants, subpoenas, other court orders, or any other legally enforceable discovery procedures, including the North Carolina Public Records Act if no exception to that Act applies.

THE SAMPSON-LIVERMORE LIBRARY

The library is a cultural, educational and informational resource for The University of North Carolina at Pembroke and the surrounding region, and serves to support the University's teaching, learning and research needs. The library staff is at all times ready to assist students and faculty in finding course-related or research materials. The Library provides a number of services for students, staff, faculty and other library users. Services include providing a collection of print and nonprint reference and circulating materials including electronic resources; acquiring new materials; offering a collection of selected state and federal documents; meeting interlibrary loan requests; providing reference assistance, information and research consultation, library use instruction, orientation tours, circulation services; and meeting other service requests as needed. The library staff encourages all faculty members to visit its Website at <http://www.uncp.edu/library>. The Website is updated regularly to reflect the variety of print and nonprint materials available at the Sampson-Livermore Library as well as other library use information. All library services available onsite are available to distance education students. Assistance is provided to disabled persons as needed.

Library hours are as follows: Monday through Thursday, 8:00 a.m.-12 midnight; Friday, 8:00 a.m.-5:00 p.m.; Saturday, 9:00 a.m.-6:00 p.m.; Sunday, 2:00-11:00 p.m. Between academic sessions the Library is closed on weekends and operates 8:00 a.m. - 5:00 p.m. Monday through Friday. Summer hours are Monday through Thursday, 8:00 a.m. - 10:00 p.m.; Friday, 8:00 a.m. - 5:00 p.m.; Saturday, 10:00 a.m. - 5:00 p.m., Sunday, 2:00-10:00

p.m. Exceptions to the above schedule, including during fall and spring break and holidays, will be listed on the Web and in printed postings.

Acquisitions: A system of library-faculty liaison exists, through which professional librarians work closely with academic departments and/or individual faculty members to assist in ordering materials, in research, or in meeting other library-related needs. Suggestions for additions to the library's collections are requested and encouraged. Materials ordered are charged against departmental allocations as part of the process of building a balanced collection. Such allocations are determined each fiscal year. Requests for new materials can be made to the departmental chair, departmental library liaison, or members of the library staff. The library's primary mission is to support the University curriculum. While few materials are purchased solely for faculty research, users have access to many via interlibrary loan or cooperative borrowing agreements. The Library also acquires some materials for recreational reading. Current textbooks used by students are not acquired for the library collection, but requests for textbooks which supplement or update the library's collections are considered. Periodical subscriptions are reviewed for addition or deletion each spring.

Government Documents: The Sampson-Livermore Library is a selective depository for the State of North Carolina and U.S. government publications/documents. Faculty members may request relevant documents from lists retained by the Government Documents/ Special Collections Librarian.

Interlibrary Loan Services (ILL): ILL is a service offered to UNCP students, faculty and staff. Materials not owned by the Library may be obtained from other lending libraries. Types of material available through interlibrary loan services include monographs, photocopies of journal articles, government documents and some microfilm and theses. In most cases, items can be borrowed or photocopies can be obtained within a two to three week period. Eligible users can submit an ILL request form in person or electronically. Urgent requests for copies of single pages of information or articles can be faxed, within a reasonable time frame. A fee may be associated with photocopies, fax equipment use, or any borrowing fees assessed by the lending library.

Reference Consultation and Assistance: Reference personnel assist patrons in finding information in print and electronic formats; schedule and perform research consultations; assist in the compilation of bibliographic resources; and provide basic instruction on how to use online and electronic resources, including the online catalog and various research databases. Faculty members are urged to discuss library assignments and instruction needs with the reference personnel, to notify the staff of such assignments, and to request assistance from them, if needed. Such assistance may include preparing bibliographies, scheduling library instruction sessions, or preliminary searching to assure that there are enough materials for students to complete the assignment. Advance information prior to assignments will be appreciated and helpful for students and the library staff.

Library Instructional Services: Students are introduced to the Library during their orientation classes. However, Instructional Services personnel offer students, faculty and staff a structured approach toward learning how to use the Library and how to make information-seeking efforts more efficient. They are shown where some fundamental sources of information are located, and they are given a chance to get acquainted with how to use these resources. Through library instruction classes and hands-on exercises, the library user gains a better understanding of the sources and services available and the information that may be obtained. The Library encourages faculty teaching courses in all subjects areas to arrange for a librarian to show the students the location and sources of information in the faculty member's field. Library instruction may be scheduled in advance by faculty for their classes. It is recommended that faculty members be present during library instruction classes for purposes of interacting with students and the library instructor.

Circulation Services: Faculty members are eligible for library services upon the beginning date of their employment. (Note: Faculty members are eligible for circulation privileges at other UNC system institutions upon presentation of their Braves One Card or other identification material which links them to the Sampson-Livermore Library.) Faculty borrowing privileges generally cease when a faculty member leaves the University's employment, but are continued for Emeritus and retired faculty. Books may be borrowed by students and staff for three weeks, with renewals available for an additional three weeks or any part of this period to the end of a semester or session if no other requests are made on the item(s). Faculty may borrow books for an entire semester, with the understanding that these books are to be returned at the end of that semester, or within no more than three weeks following notification of a request to borrow by another patron. If a recall is necessary, the faculty member will be given the minimum of three weeks to use the item. All library users are responsible for any damages to items and costs to repair/replace library materials while checked out to them. Serials, including both newspapers and current and bound journals, and those preserved on microforms, do not generally circulate outside the Library, nor do Reference materials or Government Documents.

Books may be renewed in the Library or electronically through the library's Website. It is recommended that at the end of each spring semester, faculty members return all items checked out to their library record. This allows Circulation Services the opportunity to ascertain the availability of the items.

Overdue notices will be sent for items not returned in a timely manner at the end of each semester. Six months after the items are due and have not been renewed or returned, the faculty member will be invoiced for them. The cost of the book plus a processing fee will be charged. Should the overdue material not be returned to the Library or paid for by the beginning of their next teaching semester, suspension of borrowing privileges and other administrative actions will be taken. Before such actions are taken, the faculty member will be notified in writing by the University Librarian.

(The above-stated policies regarding library lending were approved by the Faculty Senate December 2, 1992.)

Reserve Materials: The library maintains a Reserve Reading Collection in order to provide maximum access to class-assigned materials for all students. All materials are shelved behind the Circulation Desk and many are available electronically also. Items on reserve may be searched in the library's online catalog, BraveCat. Professors should place course-related items on reserve at least 48 hours before assignments are given which involve the reserve materials. Professors will designate the desired loan period: library use only, overnight, three-day, one week, or other as specified with the understanding that reference materials cannot be used outside the Library or placed on reserve for an entire semester. Reserve forms for reserve items may be obtained from the Circulation Desk. At the end of each semester all reserve items are removed from reserve unless requests have been made to keep the items on reserve. The library maintains strict compliance with the U.S. Copyright Law. Faculty members are reminded that they must secure copyright clearance for articles they wish to place on reserve for more than one semester. All faculty members wishing to place items on reserve are encouraged to read the library's Reserve Reading Collection Policy.

Archival Materials and Special Collections: The library collects materials relevant to the history of The University of North Carolina at Pembroke, Robeson County, and the Lumbee Indians. These materials are limited to library use only. Records of faculty governance are also housed in the library, as well as the papers of Charlie Rose, former United States House of Representatives Congressman from the Seventh District of North Carolina.

THE MEDIA CENTER

The Media Center provides University-wide audiovisual and other related media services and has an integral role in the total instructional and University services program. Located in Old Main, it provides (a) departmental services, which include the scheduling of media facilities and equipment for use by various department members; (b) individual services, which include the provision of facilities and equipment for university students; and (c) community services, which include both counseling services for media center development and instructional services to public school administrative units through in-service education in the teaching of media.

CAREER SERVICES CENTER

The Career Services Center is located in the Chavis University Center, Room 210. The Center's purpose is to assist students and alumni with career planning and the job search. Career counselors are available to assist students in deciding their major, assessing their skills and interests, exploring job information, critiquing resumes, developing interviewing skills, and determining job-hunting strategies.

The Career Library maintains resources related to college majors, careers, employers, graduate schools, internships/co-ops, and the job market. Web services are available for students to post resumes and references, view job listings, and network with employers.

Workshops are offered throughout the year on a wide range of career planning topics. The following events are scheduled annually: Freshman Seminar tours, Senior Orientation, Graduate and Professional School Day, Career Fair, Teacher Education Fair, and the Volunteer Fair.

Representatives from business, industry, government, health, and public schools come to the Career Center during fall and spring semesters to interview seniors and alumni for job vacancies. The UNCP Alumni Career Connection is a network for graduates willing to contribute information and/or time to students exploring careers, graduate schools, internships, etc.

For more information, view the website at www.uncp.edu/cs or make an appointment. Office hours are 8:00 am - 5:00 pm, Monday - Friday.

MULTI-CULTURAL CENTER

The Multi-Cultural Center is open to the entire campus community and exists to promote opportunities that will encourage greater global awareness. The Center offers changing exhibits showcasing the unique qualities of a variety of cultures. The majority of exhibits are prepared by students who are seeking a means to creatively display their cultural interests and build their personal portfolios. A computer lab and library of study abroad information is maintained in cooperation with the Office of International Programs. The Center serves as a resource for international students on campus by providing assistance with non-immigrant visa matters as well as personal advisement and activities designed to facilitate adjustment to students life at The University of North Carolina at Pembroke. Additional services include orientation programs, regional travel and social opportunities. The Center is also available for scheduled meetings of student groups.

UNIVERSITY COUNSELING AND TESTING CENTER

Counseling services, personal and/or social, are provided for UNCP students without cost. A variety of tests and assessment instruments are used to explore personality type, interests, and patterns of behavior. Students who are experiencing personal difficulties are encouraged to utilize these services.

The Counseling and Testing Center, telephone # 910-521-6202, is located on the second floor, room 243, of the Chavis University Center. The Center is staffed by professional counselors. Counseling is typically done by appointment, but emergency situations are addressed immediately. Counseling relationships are confidential unless harm to self or others is indicated.

FACULTY GRANTS, CONTRACTS AND COOPERATIVE AGREEMENTS

PROCEDURES FOR GRANT PROCESSING THROUGH THE OFFICE OF GRANTS

The Office of Grants is responsible for assisting faculty and professional staff members in securing external support for programs that are consistent with the mission of the University. It develops strategies for optimizing sponsored research and programs. The office provides a wide range of supportive services in proposal development, including grantwriting workshops on and off campus. Partnerships and collaborative arrangements for faculty ideas are provided. Faculty members are encouraged to access the Grants Office web page (www.uncp.edu/grants/).

All external sponsored program activity must be coordinated through the Office of Grants. The Grants Office is required to sign-off on grant, contract, and cooperative agreement proposals before submission.

The following criteria are critical in the development of proposals for sponsored programs:

1. Adequate budgetary support, both direct and indirect, must be provided by the funding agency and other appropriate sponsors whether collaborative or partnerships. Indirect cost must be charged to all budgets for external funding unless otherwise approved by the Grants Office, or is disallowed by the funding agency (see Grants Office for instructions).
2. No unauthorized financial obligations are to be assumed by the University. If matching support requires currency, then it must be approved by the appropriate Department Chair and confirmed by the Controller's Office. The Grants Office can provide examples of in-kind support.
3. All sponsored research and programs must be consistent with the mission of the University, and pertinent to its policies and regulations.
4. Principal Investigators are required to forward copies of all awards, budgetary modifications, change in scope of work, and change in key personnel to the Grants Office.
5. Expenditures of grant, contract, and cooperative agreement funds are according to federal, state, and local regulations governing such disbursements. No expenditures will be authorized until the "notice of award" has been received and appropriate accounts established by the Controller's office. The Grants Office can assist in this effort.

The University complies with the Code of Federal Regulations (Title 45, Part 46) regarding Protection of Human Subjects in Research. The University's Human Subjects Review Committee

reviews all proposals relative to research of human subjects, whether scientific or social (basic and applied).

Patents, copyrights, licenses, and technology transfers are coordinated through the Grants Office. The Grants Office provides assistance on property rights, inventions to private corporations or businesses, and disclosure.

FACULTY RESEARCH AND DEVELOPMENT COMMITTEE

This committee is designed to encourage and support faculty to pursue activities relating to professional development, research, instructional improvement, and other scholarly activity. It serves as an advisory committee to the Provost and Vice Chancellor for Academic Affairs, and administers the internal Faculty Research and Development Grants Program.

POLICIES FOR THE PROTECTION OF HUMAN SUBJECTS IN RESEARCH
THE UNIVERSITY OF NORTH CAROLINA AT PEMBROKE

Purpose

The University of North Carolina at Pembroke is concerned that no research be done under its jurisdiction which exposes persons who participate as subjects or respondents to unreasonable risks to their health, general well-being or privacy.

Specifically, the University is concerned that all research development and related activities involving the use of human subjects:

- (1) protect the rights and welfare of persons participating as subjects,
- (2) use as subjects only persons who have freely given informed consent, and
- (3) provide benefits to the subject or advance knowledge to the extent that any risk involved is judged acceptable.

To implement this policy, all research that involves human subjects conducted under the jurisdiction of the University is subject to review.

Procedures

All research involving human subjects at the University is subject to review. Two types of review procedures are available, depending on the funding sources for the research:

- A. research explicitly contracted through federal or state funds shall be reviewed by the Institutional Review Board for Research Involving Human Subjects (IRB), using the Department of Health and Human Services (DHHS) guidelines (See Code of Federal Regulations 45 CFR 46).
- B. research which does not involve such contracts shall be reviewed in the manner specified below. This category includes nonfunded research of faculty and students.
 1. Each department may develop procedures for reviewing research involving human subjects proposed by its faculty and/or students.
 2. Each department shall submit a copy of its review process to the IRB for approval. Departmental procedures and guidelines, any guidelines provided by the discipline's national association, and sample copies of forms used in the review process should be included. To be approved, departmental review procedures must provide the same protection to human subjects as does DHHS policy (See Code of Federal Regulations 45 CFR 46 - particularly

Subpart A, Section 46:111).

3. If an academic department decides not to establish a departmental review process, its faculty and students will have proposals reviewed by the IRB.
4. Each department should maintain a permanent file for all proposals that have been reviewed. Copies of approved proposals shall be forwarded to the IRB. The IRB will examine the proposals that it receives and may review any proposal it chooses. The IRB will maintain a permanent file of all proposals that it receives.
5. Faculty and students may submit proposals directly to the IRB. A signed copy of such a proposal upon which the IRB acts shall be sent to the appropriate departmental committee for its permanent file and a copy shall be placed in the permanent file of the IRB. The IRB will send the signed copy of the proposal to the department chair for departments that do not establish review processes.
6. A departmental review committee may request that the IRB review proposals where it deems such review to be appropriate.

Appeals Process

- A. Research may be resubmitted with modifications to the committee which initially reviewed it.
- B. Should repeated resubmissions to the departmental review committee fail to result in approval, the proposal may be submitted to the IRB.
- C. There is no appeal beyond the IRB for a proposal judged to have inadequate safeguards for the rights and welfare of human subjects; authority to override approval given by the IRB is held by the Chancellor.

Institutional Review Board Membership

The members of the IRB will be appointed by the Provost and Vice Chancellor for Academic Affairs. The IRB will be composed of the Coordinator of Faculty Grants and four faculty members, two of whom will be experienced in human subjects research and one of whom shall be from a nonscientific area such as ethics, religion, literature, history, etc. Only one member may come from any academic department. For review of contracted research, a sixth member who is not otherwise affiliated with The University of North Carolina at Pembroke and who is not part of the immediate family of a person who is affiliated with the University shall be appointed. No member of the IRB or of a departmental review committee may vote on the approval of a proposal that she/he submitted.

NOTE:

Committee members, applicants for review, and others concerned with the policy should familiarize themselves with Code of Federal Regulations 45 CFR 46.

**INSTITUTIONAL REVIEW BOARD FOR RESEARCH
INVOLVING HUMAN SUBJECTS**

Guidelines and Format for Submitting Proposals

The Institutional Review Board for Research Involving Human Subjects adopts the following guidelines for its consideration of applicable research proposals and the format for the submission of applicable research proposals. These guidelines and submission format are consistent with the "Policies for the Protection of Human Subjects in Research" at The University of North Carolina at Pembroke. These guidelines shall be subject to periodic review and change as deemed to be appropriate by the Review Board.

GUIDELINES

1. The Review Board shall meet during the first week of each month.
2. Research proposals must be submitted no later than the third Friday of each month for consideration at the following month's meeting.
3. The principal investigator(s) shall submit ten (10) copies of each research proposal in the format specified by the Review Board.
4. A quorum of two-thirds of the Review Board, excluding ex officio members, must be present for the consideration of any proposals or other relevant matters.
5. A majority vote will be necessary for approval of any Review Board actions.
6. The principal investigator, or designated representative, shall be present at the meeting of the Review Board for which a submitted proposal is being considered. The principal investigator will present a brief synopsis of the research proposal and respond to questions as appropriate.
7. The Chair of the Review Board shall provide written notification of the Review Board's actions to the principal investigator of a research proposal.
8. The format for the submission of research proposals shall be as follows and address the following relevant questions. Each proposal should be as brief as possible and still address each of the pertinent concerns indicated in the following section.

FORMAT

1. Title
2. Name of the Principal Investigator(s) [Note: If the Principal Investigator is a student rather than a faculty member, then the faculty member supervising the research proposal, course number and title are to be indicated.]
3. Overview or Abstract
4. Brief Summary of Purpose(s) or Goal(s)
5. Method
 - a. Materials and/or Procedures to be Used
 - b. Procedures for Identification of Subjects
 - c. Method of Subject Selection
6. Ethical Considerations
 - a. Informed Consent by Subjects
 - b. How is this obtained?
7. What records are to be retained?
8. Description of procedures for subject withdrawal without prejudice.
9. Relationship, if any, to course credit for subject participation.
10. Risk of Physical and/or Psychological Harm
11. Privacy, Confidentiality, and Anonymity
12. Provisions for Subject Debriefing as appropriate
13. Reporting of Results
 - a. What procedures will be used?
 - b. How and where will results be reported/used?
14. Retention of Records and/or Results
 - a. How will data be stored?
 - b. How long will individual data be retained?
 - c. How will data be destroyed?

THE UNIVERSITY OF NORTH CAROLINA AT PEMBROKE

GUIDELINES FOR CONSIDERATION OF CASES
INVOLVING MISCONDUCT IN ACADEMIC RESEARCH

Guiding Principles

A. Definition of Misconduct in Academic Research by Faculty

1. The intentional misrepresentation, fabrication, or falsification of data gathered in academic research or in the procedure used to gather, analyze, or validate such data.
2. Plagiarism -- The use of ideas, language, or the results of creative endeavors without appropriate referencing or crediting of the original source(s).
3. Other practices that seriously deviate from those commonly accepted within the academic community for proposing, conducting, or reporting research, including inappropriate crediting of authorship (or lack of crediting) in cases in which students, alumni, or other parties have contributed to such research.
4. The material failure to comply with federal requirements regarding the use of laboratory animals, the treatment of human subjects, or the expenditure of grant funds as stipulated conditions for specific grants, contracts, or as general requirements of the granting or contracting agency.
5. Misconduct in academic research is to be carefully distinguished from honest differences in the evaluation of data gathering or analysis practices, and from honest differences in interpretations or judgments of data. Honest differences of opinion are the lifeblood of a vigorous and productive discipline. The confusion of honest differences of opinion with intentional misrepresentation could easily be detrimental to the discipline and restrict academic freedom.
6. Similarly, honest errors in collecting, analyzing, and reporting data are not considered to be instances of academic misconduct. It is the responsibility of those investigating the matter to determine, with all the resources at their disposal, the delicate and complex question of whether the alleged misconduct arises from honest error, minor to gross negligence, or outright misrepresentation. Honest errors arising from negligence reflect simply bad research and should be dealt with as an issue separate from deliberate deception, misrepresentation, plagiarism, and unethical or illegal practices in the conduct of research or creative activity.

B. General Policies Regarding Misconduct in Academic Research

1. Policy. Misconduct in academic research poses a fundamental threat to the process of academic research and creative endeavors and therefore cannot be tolerated.
2. Handling of allegations. Allegations of misconduct in academic research are a serious matter. They must be handled in a prompt and appropriate manner with due respect and concern both for the accused and the accuser. The responsibility for coordinating these procedures rests with the Provost and Vice Chancellor for Academic Affairs unless there is a conflict of interest, in which case the Chancellor will assume this responsibility.
3. Protection of the accused. Until a decision as to the facts of the case is made through the judicious application of the policies and procedures described in this document, the accused is to be protected by the institution. Individual parties involved must be shielded from the possible damage arising from allegations of misconduct, while ensuring a prompt and effective response to the allegations raised. The primary mechanism for this protection will be strict confidentiality. The damages resulting from spurious allegations of misconduct in academic research, and inappropriate assumptions of guilt must be minimized.
4. Protection of the accuser. The accuser is also to be protected by confidentiality and anonymity in the initial handling of the case until it becomes necessary for the identity of the accuser to be revealed to the accused and to other parties that need to know. Except under extraordinary circumstances, the accused has the right to confront the accuser. Special care in this respect must be taken in cases where the accuser is subordinate to the accused. Spurious, frivolous, or irresponsible accusations of misconduct are, themselves, a form of academic misconduct and should be dealt with accordingly. Individuals must be protected by the institution from these types of allegations.
5. Confidentiality. An investigation of an allegation of misconduct in academic research must be handled with strict confidentiality at all times.
6. Conflict of interest. A conflict of interest, real or perceived, must be avoided in the investigation of an allegation of misconduct in academic research. The membership of the investigating committee must be screened to avoid this difficulty.
7. Timeliness. Fairness and justice to the parties involved require that allegations of misconduct in academic research be resolved in a timely manner. Any deviation from the time guidelines given below should involve the preservation of the fair and appropriate handling of the investigation. When a departure from these time constraints is judged to be necessary, the extent and specifics of the departure must be

documented and agreed to in writing by the parties involved.

8. Documentation. The investigation of an allegation of misconduct in academic research must be carefully documented starting with the initial allegation and proceeding through disposition and reporting of findings. Thorough documentation is important for several reasons, including potential legal proceedings that may follow from such cases. Every substantive aspect of the investigation needs to be documented. Personnel decisions or other actions arising from the disposition of the case need to be justified in the documentation.
9. Organization. There will be three stages involved in the handling of an allegation of misconduct in academic research. The first stage, which is the internal (Inquiry) stage, involves the gathering of facts as quietly and confidentially as possible with only the Provost and Vice Chancellor for Academic Affairs, the Inquiry Committee, and the faculty member(s) named in the allegations being informed of the proceedings. If the inquiry indicates that a formal investigation is warranted, then an Investigating Committee is formed as described below, and the second (Investigation) stage begins. At this stage, the Provost and Vice Chancellor for Academic Affairs informs the Chancellor that such proceedings are underway. The third (Summary) stage involves actions taken by the Provost and Vice Chancellor for Academic Affairs based on findings in the first two stages.
10. If in the Inquiry stage it is found that a full investigation (second stage) is appropriate, then the University has the responsibility of informing various parties both within and external to the university community. Those who need to be informed will depend on the circumstances, but may include: (1) department chairs, administrators, or other faculty who will be affected by the investigation; (2) persons who have been or are currently in collaboration with the accused; and (3) any funding agency that requires reporting under such circumstances. It is the responsibility of the Investigating Committee to determine the extent of such reporting at the outset of the official investigation.

Procedures for Handling an Allegation of Academic Misconduct

A. Overview

1. There are three stages in the handling of allegations of misconduct in academic research. They are the Inquiry stage, the Investigation stage, and the Summary stage. The Inquiry stage begins with the initial allegation of misconduct in academic research and ends when the Provost and Vice Chancellor for Academic Affairs determines that the case does or does not warrant further action. The Investigation stage begins if and when it is decided that the case requires a full investigation and ends with a summary of

findings as to the facts of the case and a recommendation for action forwarded to the Provost and Vice Chancellor for Academic Affairs. The Summary stage involves actions taken by the Provost and Vice Chancellor for Academic Affairs based on the findings of the first two stages.

2. For purposes of consistency, a "day" is defined as a weekday during which classes are normally in session. University holidays are not to be counted toward the deadlines established in this document. Timeliness for proceedings that extend over lengthy holidays may need to be modified as circumstances require. If so, these modifications must be documented and agreed to in writing by the parties involved.

B. Specific Procedures

Inquiry Stage

1. An allegation of misconduct in academic research should be directed to the Provost and Vice Chancellor for Academic Affairs. The Provost and Vice Chancellor for Academic Affairs determines, in consultation with the complainant, whether the charges are of a serious nature. This decision must be dated and documented in a specific file to be retained by the Provost and Vice Chancellor for Academic Affairs. Except in cases of conflicting interest, or other sensitive or special circumstances, the department chair of the faculty member(s) named in the allegation is informed of the matter at this time.
2. Upon finding that the complaint deserves further examination, the Provost and Vice Chancellor for Academic Affairs should initiate the Inquiry stage. This stage should be concluded within 30 work days.
 - 2.1 The Inquiry Committee is to be formed by the Provost and Vice Chancellor for Academic Affairs. This committee may include the department chair involved and members of any research oversight committees that may have an interest in the present matter. Decisions to involve or not involve other parties in the inquiry must be made in light of the need to avoid real or apparent conflicts of interest and to maintain appropriate confidentiality.
 - 2.2 The Provost and Vice Chancellor for Academic Affairs will name one of the committee members to serve as chair. This individual will coordinate the collection of documents, correspondence, and all other appropriate materials that are necessary for conducting the inquiry.
 - 2.3 The faculty member(s) named in the allegation must be notified of the initiation of the proceedings.
3. The accused has a right to attend the Inquiry meetings at which evidence is presented

and discussed, and to examine and respond to any evidence or testimony presented. A discussion of the allegation with the accused should be one of the first elements of the Inquiry Committee proceedings. The accused may not attend the final meeting of the Inquiry Committee at which a decision is reached as to whether the allegation warrants a formal investigation. However, no new evidence used against the accused may be presented or discussed at this final meeting. Within these limits, Inquiry Committee meetings may be attended only by Inquiry Committee members, the accused, persons presenting evidence or testimony, and others who have, in the judgement of the Provost and Vice Chancellor for Academic Affairs, a substantive and demonstrable need to know. The Inquiry shall be conducted under the strictest confidentiality possible.

4. If the Inquiry Committee finds that a full investigation of the allegation is not warranted, then any reference to the allegation must be removed from the faculty or staff member's personnel file, as well as from any special files pertaining to this matter. All documentation regarding the allegation must be destroyed by the Provost and Vice Chancellor for Academic Affairs.
5. If the Inquiry Committee finds that a full investigation of the allegation is warranted, the Provost and Vice Chancellor for Academic Affairs should (a) appoint an ad hoc committee to conduct an investigation composed as described below; (b) take appropriate action to preserve and protect any data, records, or evidence pertaining to the case; (c) notify the individual(s) involved of the proceedings being initiated and of their opportunity to appear before the committee in their own defense; and (d) report the initiation of the investigation to any funding agency that may be involved. The Provost and Vice Chancellor may require that the accused individual(s) temporarily cease research activities if it is determined that a continuation of such activities may result in risk or harm to parties involved. The Provost and Vice Chancellor for Academic Affairs shall inform the UNCP Chancellor that a formal investigation of Academic misconduct is underway.

Investigation Stage

1. The Chair of the Investigating Committee is to be designated first by the Provost and Vice Chancellor for Academic Affairs. The nature of the research, possible conflicting interests, and departmental or administrative concerns will guide the choice of this individual.
2. The Investigating Committee should be composed of seven members including: (a) the appointed chair; (b) one member representing the University Senate; (c) one member representing the Faculty Development and Welfare Subcommittee; and (d) members representing the committees involved with research on the UNCP campus. The Provost and Vice Chancellor for Academic Affairs and the Chair of the Investigating Committee will confer on the six appointments (other than the Committee Chair) to

assure that the Committee includes faculty with the particular expertise relevant to the nature of the allegation. These appointments shall be full-time faculty members with no apparent conflicts of interest and who are deemed qualified and appropriate to work in this capacity.

3. The Committee shall conduct a prompt and thorough investigation in order to ascertain whether the individual has violated this policy, and if so, to what extent. Early in the course of the investigation, the Committee shall discuss the matter in confidence with the accused individual and with all persons with whom the accused has collaborated in relation to the work under review. Throughout the investigation, the Committee shall be sensitive to the effects of the proceedings on the individual, protecting the rights of the accused, and avoiding disclosure except to individuals who need to be involved in the investigation.
4. One or more hearings shall be conducted by the Investigating Committee in which information and evidence relevant to the allegation are presented, discussed and evaluated. It is the responsibility of the Committee chair to schedule and conduct the hearing(s) as well as to provide relevant evidence, documents, and recorded testimony to Committee members. Interviews with those having special knowledge relevant to the allegation may take place in the hearing(s), as well as a review of written documents, publication records, raw data or computer files, and transcripts of testimony or discussion from previous hearings and interviews.
5. The accused individual has the right to attend these hearings, to examine all documents or evidence used to question persons being interviewed, and to introduce any evidence, documents, or interviews in support of the views of the accused. At the conclusion of the hearings, a separate meeting of the Investigating Committee shall be conducted to reach a decision as to the facts of the case. The accused individual may not be present at this final meeting, and no new evidence of any sort may be presented at this meeting. The accused individual must have access to all information used by the Committee, and must be given the opportunity to respond to that information.
6. The hearings may be attended only by those whose presence is required for the proceedings to take place. This would normally include the members of the Investigating Committee, the accused individual, and persons needed to present evidence or testimony. Others may be permitted on a need-to-know basis at the discretion of the chair of the Investigating Committee in consultation with the Provost and Vice Chancellor for Academic Affairs if necessary.
7. The scope of the investigation shall be at the discretion of the Committee chair according to the charge and the facts. The Committee shall consider only such evidence as is presented at the hearing(s). The Committee shall use its judgement in

deciding what evidence presented is fair and reliable. A written transcript shall be kept of all proceedings in which evidence is presented. Upon request, a copy of this transcript will be furnished to the accused faculty member at the University's expense.

8. Within 30 work days from the beginning of the official investigation, the Investigating Committee should produce a preliminary report to which the accused individual may respond, in writing, before final recommendations are made. A period of 15 work days is allowed for a response from the accused unless it is determined by the Committee chair that more time is needed to ensure fair and appropriate handling of the matter. The specifics of any agreement to alter this timing must be documented and signed by the accused, the Committee chair, and the Provost and Vice Chancellor for Academic Affairs.
9. Within 60 work days from the beginning of the Investigation stage, the Investigating Committee must submit to the Provost and Vice Chancellor for Academic Affairs a written report which describes their findings as to the acts of the matter. This report should specify whether a majority of the committee believes that the accused individual has or has not engaged in substantive academic misconduct as defined in this document. If a majority of the Committee has determined that a substantive violation has occurred, the report should address the extent and seriousness of that violation. The report should also recommend a course of action to the Provost and Vice Chancellor for Academic Affairs. Such actions may involve personnel decisions, sanctions, notification of a funding agency, notification of collaborators, or any other appropriate action.

OFFICE SERVICES

Central Stores

Central Stores maintains an inventory of over 2,000 line items of the most commonly used office, computer, classroom, and maintenance supplies. Departments may visit Central Stores to "shop" or purchase their requirements. A Central Stores requisition is required. The catalog information is available on the Financial Record System (FRS) under the requisition screen 254. Instruction on the catalog search is located on the web at uncp.edu/bs/cs.htm. The catalog should be referred to prior to requesting an off-campus purchase. Central Stores is located in the Central Warehouse building.

Printing and Duplicating

Printing and Duplicating, located in the Central Warehouse Building, is open for business from 8 a.m. - 5 p.m., Monday through Friday. It will provide printing, copying, the student one-card system, and reproduction services for all academic and administrative departments at a reasonable charge.

Mail Service

The UNCP Post Office is located at the front of the Central Warehouse. The office offers stamps, envelopes, USPS, UPS, Federal Express, and Airborne mailing services.

Mail is picked up daily from the Pembroke Post Office, sorted and delivered to all campus boxes and departments.

Intra-department mail is picked up and delivered twice a day. Outgoing mail boxes are available in the following buildings: University Center, Lumbee Hall, Business Administration, Oxendine Science, Dial Humanities, Educational Center, and Old Main. Anyone may post outgoing mail (providing it has appropriate postage) in these boxes. The outgoing boxes can be used for campus mail, courier mail and outgoing mail.

UNCP is served by the State Courier service for all state agencies located in Raleigh and other agencies throughout the State. Contact the Post Office for more information or for courier addresses.

Fax service is offered to all faculty, students, and staff. The fax number is 910-521-6688. Faculty and departments may use the service free of charge if the material faxed is UNCP business. An authorization form is available in the Post Office. With authorization faculty/departments may send or receive material via this fax number. Users receiving a document should instruct the sender to note the name, department, and phone number of the receiver. The fax may be used for personal use for a small fee. The charges are \$.50 per page

for outgoing faxes within the continental US and \$1.00 per document for incoming faxes.

STUDENT HEALTH SERVICES CENTER

The Student Health Services Center is operated totally out of student fees. Any faculty or staff member desiring routine medical services from Student Health Services may pay the \$57.50 per semester fee to the cashier and take his/her receipt to the Director of Health Services. This will entitle him/her to out-patient service only and does not cover family members.

UNIVERSITY CAFETERIA

Excellent meals are available from the University cafeteria to faculty and staff at nominal rates. Breakfast, lunch, and dinner are served daily.

A debit-card system, designed for your convenience, is part of your UNCP I.D. card. This system allows you to design your own meal plan. You may either put "Munch Money" on your card (\$25 minimum) or purchase Block Meals. Block Meals (16 meals minimum) may be purchased at a reduced rate. See the Cashier's Office for Details.

Additional information about "Munch Money" and Block Meals can be obtained at the cafeteria or the Controller's Office.

WORKERS' COMPENSATION

The North Carolina Workers' Compensation Act covers all employees of The University of North Carolina at Pembroke, which is administered through the North Carolina Industrial Commission and the States Third Party Administration. If you suffer an injury on the job arising out of the course of your employment, report it immediately to your supervisor, the Human Resources Office, and the University's Safety Officer. Necessary forms can be obtained from the departmental secretaries or from the Human Resources Office. Form 18 and the "Employees Statement" form must be completed by the employee and submitted to the supervisor. The supervisor then must complete form 19 and the "Supervisor's Report". The completed forms are then submitted to the Human Resources Office so that a claim can be filed on your behalf with the Third Party Administrator and the North Carolina Industrial Commission. If the injury last more than 21 days, then the employee will receive 66 2/3 % of their salary while out on workers' compensation.

INSURANCE FOR STUDY ABROAD PROGRAMS AND STUDENT INTERNSHIPS

Study Abroad: Insurance coverage is available (and in some instances, required) for all registered students taking credit hours and/or graduate students who are temporarily engaged in educational activities while outside the U.S. This coverage is also available for faculty and staff

representing the University while engaged in University activities outside the U.S. Contact the Director of the Multi-Cultural Center, extension 6508.

Internships: Insurance coverage is available for students who will be participating in paid or unpaid *non-medical* internships for credit or for students participating in mandatory academic internship programs.

Both types of coverage are issued under master UNC policies and are administered on this campus by the Office for Academic Affairs, call extension 6224.

FOOD SERVICE

A Request for Dining Services form is available from the Director of Dining Services. A catering brochure, available from the Dining Services Director, details approximate costs for various types of functions and events. For more information, refer to the Request for Dining Services policy available in your department or with the Director of Dining Services. Food services is contracted by an outside provider.

CAMPUS PARKING PERMIT

It is the responsibility of each faculty member to register his/her motor vehicle with the Cashier's Office. A \$66.00 fee is charged EPA (Faculty and Non-Teaching Staff) and \$33.00 for Part-time Faculty for a permit, which is valid for one year, expiring August 15. Permits sold after January 1 are half price. Review the Traffic Rules and Regulations, available at the time you register your vehicle, to determine which lots are available for faculty/staff parking. The parking permit cost may automatically be deducted from your August paycheck on a pre-taxed basis. The annual enrollment is during May of each year for the following academic year.

AUTOMOBILE LICENSE

The length of time a person may operate an automobile in North Carolina before being required to purchase a North Carolina license plate varies according to the state in which the automobile was previously registered; North Carolina has reciprocity agreements with most states. Newly employed faculty members coming from other states are advised to call the local office of the North Carolina State Highway Patrol to secure information on this regulation and thus avoid payment of a penalty for non-compliance.

CHECK CASHING SERVICE

Personal checks can be cashed at the University Bookstore. The following policy will apply:

1. Checks for amounts \$50 and under will be cashed.

2. Two-party checks are not acceptable.
3. Identification (University I.D. or driver's license) is required for cashing checks.
4. A \$25 service charge is levied for returned checks.
5. After the first returned check, a warning will be issued; and the check must be paid immediately.
6. After the second returned check, you will be ineligible to cash checks for the remainder of the school year.

LOST AND FOUND ARTICLES

Found articles should be turned in to the Office for Student Affairs with any possible information that may help to identify the owners. Notice should be given this same office in regard to lost articles.

THE PINE NEEDLE

The **Pine Needle** is a biweekly student-published newspaper at UNCP. It records the weekly activities associated with the student body and The University of North Carolina at Pembroke. Through its editorials, sports coverage, etc., the **Pine Needle** staff keeps the student body well informed of what's happening at UNCP, and also discusses issues of national and international concern. Through the **Pine Needle** students are afforded the opportunity to voice their opinions thereby providing a vital communications link with the total University.

ANNOUNCEMENTS

All official notices will be published in **This Week**, a publication from the Vice Chancellor for Student Affairs Office, which is distributed on Monday of each week during fall and spring semesters.

OFFICE OF UNIVERSITY RELATIONS

The Office of University Relations is a link between the University and its constituencies. It is responsible for selected internal and external communications and promotional campaigns. The Director is the official University spokesperson.

The office coordinates media coverage and disseminates news to the media. In order to accomplish these tasks, the cooperation of all administrators, faculty and staff is requested.

Those knowledgeable of newsworthy events and programs are asked to contact the Office of University Relations (521-6249).

University-related trips, appointments, publication of articles, participation in programs,

honors received, or any other newsworthy event should be reported for dissemination to the news media.

The Office of University Relations sends news releases and media advisories to media throughout North Carolina, professional journals, and to out-of-state hometown media.

A feature of the office is its photographic service which provides photos to accompany the printed news releases. To schedule photographic support, contact the University Photographer at 521-6253.

SERVICE AWARDS

The Office of State Personnel has developed a Service Awards Program for all full-time State employees. The purpose of this program is to recognize the continued and dedicated service of career State employees.

On the anniversary of your 10th, 20th, and 30th year of employment with the State of North Carolina, you will be presented with your choice of any award or a Certificate of Service. Our awards program includes both faculty and staff. If you have had prior service with the State of North Carolina, please notify the Human Resources Office.

TUITION WAIVER PRIVILEGES FOR FACULTY

As adopted by the University Board of Governors, full-time faculty who are eligible for membership in a State-supported retirement plan will be allowed tuition waiver for one course per regular school term for classes attended outside of the required work hours. The following conditions must be satisfied in order to be eligible for tuition waiver:

- (a) Employees with temporary and/or part-time appointments are not eligible.
- (b) Tuition waiver shall apply only during the period of one's normal employment at UNC Pembroke.
- (c) Only those who have met admission requirements may be granted tuition waiver.
- (d) Tuition waiver is for tuition and required fees only.
- (e) Tuition waiver cannot be granted for courses where no college credit is allowed.
- (f) Tuition waiver will be allowed only for courses that occur outside of scheduled work hours.

Questions concerning tuition waiver for faculty may be directed to the Office for Academic Affairs.

TUITION WAIVER FOR PERSONS AT LEAST 65 YEARS OLD

As authorized by the General Assembly and adopted by the Board of Governors, legal residents of North Carolina who are at least 65 and who meet applicable admissions standards are permitted to enroll for courses tuition-free on a space-available basis. Other fees or charges and costs of textbooks must be paid by the student.

Questions concerning tuition waiver may be directed to the Controller's Office--Student Accounts Receivable.

TELEPHONE SERVICE

Phone service is provided by an AT&T Definity G3V5 System 75 switch with a 1000 line capability and an OCTEL voice messaging system that also has 1000 lines. The University Switchboard is open each school day from 7:45 a.m. - 5 p.m. The switchboard has several outside lines for out-going, long-distance calls utilizing the State Telephone Network (CENTREX). Regulations of the State of North Carolina require that the CENTREX network only be used for official University business. All personal long-distance calls should be charged to personal calling cards.

For local calls, dial 9 and the seven digit number.

For long distance, dial (9), then 1 and the area code plus the seven-digit phone number.

To make a personal long-distance call you must dial (0) and ask the switchboard operator for an outside line or dial 9-1-800-CALLATT or other toll free access number.

Please refer to the UNCP Phone & E-Mail Directory for information on how to use all the features of the University's telephone and voice mail system. These directories can be obtained from the Office of University Computing and Information Services.