

**EAST CAROLINA UNIVERSITY
2001-2002 FACULTY SENATE**

The seventh regular meeting of the 2001/2002 Faculty Senate will be held on **Tuesday, March 19, 2002**, at 2:10 in the Mendenhall Student Center, Room 244.

Please note the change in meeting location.

FULL AGENDA

- I. Call to Order**
- II. Approval of Minutes**
 - January 29, 2002 (have not been distributed yet)
 - February 26, 2002 (have not been distributed yet)
- III. Special Order of the Day**
 - A. Roll Call
 - B. Announcements
 - C. William Muse, Chancellor
 - D. Vice Chancellor's Report
 - E. Bob Morrison, Chair of the Faculty
 - F. Brenda Killingsworth, SACS Self Study Director
 - G. Approval of Spring 2002 Graduation Roster, including honors program graduates, subject to the completion of degree requirements.
 - H. Question Period
- IV. Unfinished Business**
- V. Report of Committees**
 - A. University Curriculum Committee, Dale Knickerbocker
 - Curriculum matters contained in the minutes of the February 14, 2002, and February 28, 2002, Committee Meetings.
 - B. Calendar Committee, Charles Calhoun
 - 1. Proposed 2003-2004 University Calendar (attachment 1).
 - 2. Proposed Revised Guidelines for Scheduling Lecture and Discussion Classes for Fall and Spring Semesters and Summer Sessions (attachment 2).
 - C. Faculty Governance Committee, Dee Dee Glascoff
 - 1. Proposed Revision to the *ECU Faculty Manual*, Part VI. Section VIII. Frequently Asked Questions About Faculty Personnel Records (attachment 3).
 - 2. Proposed Revised Appendix I. ECU Policy on Conflicts of Interest and Commitment for the *ECU Faculty Manual* (attachment 4).

VI. New Business

CALENDAR COMMITTEE REPORT
Proposed 2003-2004 University Calendar

Summer Session 2003
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 16, Monday	Last day to apply for admission to Graduate School for first summer term.
May 16, Friday	Schedules canceled for all who have not paid fees by 4:00 PM.
May 19, Monday	New student registration; schedule changes.
May 20, Tuesday	Classes begin; late registration; schedule changes.
May 21, Wednesday	Last day for late registration and schedule changes (drop and add) for first term.
May 22, Thursday	Last day for schedule changes (add only).
May 26, Monday	Holiday (no classes).
June 3, Tuesday	Last day for undergraduate students to drop term-length courses or withdraw from school without grades. Block courses may be dropped only during the first 40% of their regularly scheduled class meetings.
June 18, Wednesday	Last day for graduate students to drop courses without grades.
June 24, Tuesday	Classes end. Last day for submission of grade replacement requests.
June 25, Wednesday	Final examinations.

Second Term

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

May 1, Thursday	Last day to apply for admission to Graduate School for second summer term.
June 23, Monday	Schedules canceled for all who have not paid fees by 4:00 PM.
June 25, Wednesday	New student registration; schedule changes.
June 26, Thursday	Classes begin; late registration; schedule changes.
June 27, Friday	Last day for late registration and schedule changes (drop and add) for second term.
June 30, Monday	Last day for schedule changes (add only).
July 4, Thursday	State holiday (no classes).
July 10, Thursday	Last day for undergraduate students to drop term-length courses or withdraw from school without grades. Block courses may be dropped only during the first 40% of their regularly scheduled class meetings.
July 21, Monday	Last day to submit thesis to Graduate School for completion of degree in the summer session.
July 25, Friday	Last day for graduate students to drop courses without grades.
July 31, Thursday	Classes end. Last day for submission of grade replacement requests.
August 1, Friday	Final examinations; last day to submit appeals for readmission for Fall semester.

Weekend Program Classes Summer Schedule 2003

(Actual class days: 10 Fridays, 10 Saturdays, 2 days for Final Exams)

May 16, Friday	Weekend Program registration and schedule changes; Weekend Program classes begin.
May 20, Tuesday	Last day for Weekend Program class schedule changes (drop and add).
June 10, Tuesday	Last day for Weekend Program students to drop a Weekend Program class or to withdraw from school without grades.
July 4-July 5, Friday-Saturday	6:30 p.m., Weekend Program July 4th holiday begins (no classes).
July 26, Saturday	Weekend Program classes end. Last day for submission of grade replacement requests.
August 1-2, Friday-Saturday	Weekend Program exams.
August 2, Saturday	Summer session ends.

Faculty Senate Agenda
March 19, 2002
Attachment 1 (continued)

Fall Semester 2003

(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)

June 2, Monday	Last day to apply for admission to Graduate School for the Fall semester.
August 1, Friday	Last day to submit appeals for readmission for Fall semester.
August 8, Friday	Schedules canceled for all who have not paid fees by 4:00 PM.
August 11, Monday	Fall semester fees accepted with late processing fee.
August 22, Friday	6:30 p.m. Weekend Program classes begin.
August 25, Monday	Faculty meetings. Registration and schedule changes.
August 26, Tuesday	Classes begin; late registration; schedule changes. Last day for Weekend Program schedule changes (drop and add).
August 29, Friday	6:30 p.m., Weekend Program Labor Day holiday begins (no classes).
September 1, Monday	Labor Day holiday (no classes).
September 2, Tuesday	State holiday makeup day (classes which would have met on <u>Monday</u> , September 1, 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 <u>not</u> meet.) This does not apply to Weekend Program classes.
September 2, Tuesday	Last day for late registration and schedule changes (drop and add).
September 3, Wednesday	Last day for schedule changes (add only).
September 10, Wednesday	Last day to apply for graduation in December.
October 3, Friday	Last day for undergraduate students to drop term-length courses or withdraw from school without grades. Block courses may be dropped only during the first 40% of their regularly scheduled class meetings.
October 7, Tuesday	Last day for undergraduate students to drop a Weekend Program class or to withdraw from school without grades.
October 10, Friday	6:30 p.m., Weekend Program Fall Break begins (no classes).
October 11-14, Saturday-Tuesday	Fall Break.
October 15, Wednesday	8:00 a.m. Classes resume.
November 3, Monday	Registration for Spring Semester 2004 begins.
November 18, Tuesday	Last day to remove incompletes given during Spring and/or Summer session 2003.
November 26-30, Wednesday-Sunday	Thanksgiving break.
December 1, Monday	8:00 a.m. - classes resume. Last day for graduate students to drop courses without grades.
December 2, Tuesday	Last day to submit thesis to the Graduate School for completion of degree in this term.
December 9, Tuesday	Classes end. Last day for submission of grade replacement requests.

**Faculty Senate Agenda
March 19, 2002
Attachment 1 (continued)**

December 10, Wednesday Regular Exams begin.

December 12-13, Friday-Saturday Weekend Program exams.

December 13, Saturday Commencement.

December 17, Wednesday 7:00 p.m. Exams for Fall semester close; last day to submit appeals for readmission for Spring semester.

**EXAMINATION SCHEDULE
FALL SEMESTER 2003**

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.

Examinations in classes meeting one night a week will be held at 7:30-10:00 p.m. on the first night of their usual meeting during the examination period (December 10-December 17). Examinations in classes meeting two or more nights a week and beginning before 8:00 p.m. will be held at 7:30-10:00 p.m. on the first night of their usual meeting during the examination period (December 10- December 17). Examinations in classes meeting two or more nights a week and beginning at or after 8:00 p.m. will be held at 7:30-10:00 p.m. on the second night of their usual meeting during the examination period (December 10- December 17). Classes meeting on Saturday morning will have the final examination on Saturday, December 13, at the usual hour at which the class meets. Weekend Program classes will have exams on Friday and Saturday (December 12-December 13) at the usual hour at which the class meets.

Those classes beginning between hours or meeting more than one hour will have the final examination at the time scheduled of the hour during which the class begins (e.g., a 9:30-11:00 a.m., TTh class will meet the examination schedule of the 9:00 a.m. TTh class; an 8:00-10:00 a.m. MWF class will meet the examination schedule of the 8:00 a.m. MWF class)

Common examinations will be held according to the following schedule:

CHEM 1121, 1131, 1151, 1161	5:00 - 7:30 Wednesday, December 10
MATH 1065.....	5:00 - 7:30 Thursday, December 11
FREN 1002, SPAN 1002, 1003, GERM 1002	5:00 - 7:30 Friday, December 12
ECON 2113, 2133.....	5:00 - 7:30 Monday, December 15
CHEM 0150, 1120, 1130, 1150, 1160	5:00 - 7:30 Tuesday, December 16
FREN 1001, 1003, SPAN 1001, 1004, GERM 1001	5:00 - 7:30 Wednesday, December 17

Times class regularly meets

Time and day of examination

8:00 MWF	8:00 - 10:30 Friday, December 12
8:00 TTh	8:00 - 10:30 Thursday, December 11
9:00 MWF	8:00 - 10:30 Monday, December 15
9:00 TTh (9:30)	8:00 - 10:30 Tuesday, December 16
10:00 MWF	8:00 - 10:30 Wednesday, December 17
10:00 TTh	8:00 - 10:30 Wednesday, December 10
11:00 MWF	11:00 - 1:30 Friday, December 12
11:00 TTh	11:00 - 1:30 Thursday, December 11
12:00 MWF	11:00 - 1:30 Monday, December 15
12:00 TTh (12:30)	11:00 - 1:30 Tuesday, December 16
1:00 MWF	11:00 - 1:30 Wednesday, December 17
1:00 TTh	11:00 - 1:30 Wednesday, December 10
2:00 MWF	2:00 - 4:30 Friday, December 12
2:00 TTh	2:00 - 4:30 Thursday, December 11
3:00 MWF (3:30)	2:00 - 4:30 Monday, December 15
3:00 TTh (3:30)	2:00 - 4:30 Tuesday, December 16
4:00 MWF	2:00 - 4:30 Wednesday, December 17
4:00 TTh	2:00 - 4:30 Wednesday, December 10
5:00 MWF	5:00 - 7:30 Monday, December 15
5:00 TTh	5:00 - 7:30 Thursday, December 11

Faculty Senate Agenda
March 19, 2002
Attachment 1 (continued)

Spring Semester 2004

(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, Wednesday	Last day to apply for admission to Graduate School for the Spring semester.
December 17, Wednesday	Last day to submit appeals for readmission for Spring semester.
December 29, Monday	Spring semester fees accepted with late processing fee.
January 2, Friday	Class schedules canceled for all who have not paid fees by 4:00 PM.
January 8, Thursday	Registration and schedule changes.
January 9, Friday	Classes begin; late registration; schedule changes.
January 15, Thursday	Last day for late registration and schedule changes (drop and add).
January 16, Friday	Last day for schedule changes (add only).
January 19, Monday	State holiday (no classes).
January 23, Friday	Last day to apply for graduation in May.
February 18, Wednesday	Last day for undergraduate students to drop term-length courses or withdraw from school without grades. Block courses may be dropped only during the first 40 percent of their regularly scheduled class meetings.
February 29-March 7, Sunday – Sunday	Spring Break.
March 8, Monday	8:00 a.m. - Classes resume.
March 22, Monday	Registration for Summer session and Fall semester 2004 begins.
April 5, Monday	Last day to remove incompletes given during Fall semester 2003.
April 9-10, Friday-Saturday	State holiday (no classes).
April 14, Wednesday	Last day for graduate students to drop courses without grades.
April 15, Thursday	Last day to submit thesis to the Graduate School for completion of degree in this term.
April 26, Monday	Classes end. Last day for submission of grade replacement requests.
April 27, Tuesday	Reading day.
April 28, Wednesday	Regular exams begin.
May 5, Wednesday	7:00 p.m. Exams for Spring semester close.
May 8, Saturday	Commencement.

EXAMINATION SCHEDULE SPRING SEMESTER 2004

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.

Examinations in classes meeting one night a week will be held at 7:30-10:00 p.m. on the first night of their usual meeting during the examination period (April 28-May 5). Examinations in classes meeting two or more nights a week and beginning before 8:00 p.m. will be held 7:30-10:00 p.m. on the first night of their usual meeting during the examination period (April 28-May 5). Examinations in classes meeting two or more nights a week and beginning at or after 8:00 p.m. will be held at 7:30-10:00 p.m. on the second night of their usual meeting during the examination period April 28-May 5). Classes meeting on Saturday morning will have the final examination on Saturday, May 1, at the usual hour at which the class meets.

Those classes beginning between hours or meeting more than one hour will have the final examination at the time scheduled of the hour during which the class begins (e.g., a 9:30-11:00 a.m., TTh class will meet the examination schedule of the 9:00 a.m. TTh class; an 8:00-10:00 a.m. MWF class will meet the examination schedule of the 8:00 a.m. MWF class)

Common examinations will be held according to the following schedule:

FREN 1002, SPAN 1002, 1003, GERM 1002	5:00 - 7:30 Wednesday, April 28
ECON 2113, 2133.....	5:00 - 7:30 Thursday, April 29
CHEM 0150, 1120, 1130, 1150, 1160	5:00 - 7:30 Friday, April 30
CHEM 1121, 1131, 1151, 1161	5:00 - 7:30 Monday, May 3
FREN 1001, 1003, SPAN 1001, 1004, GERM 1001	5:00 - 7:30 Tuesday, May 4
MATH 1065.....	5:00 - 7:30 Wednesday, May 5

Times class regularly meets

Times class regularly meets	Time and day of examination
8:00 MWF	8:00 - 10:30 Monday, May 3
8:00 TTh	8:00 - 10:30 Wednesday, May 5
9:00 MWF	8:00 - 10:30 Wednesday, April 28
9:00 TTh (9:30)	8:00 - 10:30 Thursday, April 29
10:00 MWF	8:00 - 10:30 Friday, April 30
10:00 TTh	8:00 - 10:30 Tuesday, May 4
11:00 MWF	11:00 - 1:30 Monday, May 3
11:00 TTh	11:00 - 1:30 Tuesday, May 4
12:00 MWF	11:00 - 1:30 Wednesday, April 28
12:00 TTh (12:30)	11:00 - 1:30 Thursday, April 29
1:00 MWF	11:00 - 1:30 Friday, April 30
1:00 TTh	11:00 - 1:30 Wednesday, May 5
2:00 MWF	2:00 - 4:30 Monday, May 3
2:00 TTh	2:00 - 4:30 Wednesday, May 5
3:00 MWF (3:30)	2:00 - 4:30 Wednesday, April 28
3:00 TTh (3:30)	2:00 - 4:30 Tuesday, May 4
4:00 MWF	2:00 - 4:30 Friday, April 30
4:00 TTh	2:00 - 4:30 Thursday, April 29
5:00 MWF	5:00 - 7:30 Wednesday, April 28
5:00 TTh	5:00 - 7:30 Thursday, April 29

CALENDAR COMMITTEE REPORT

Proposed Revised Guidelines for Scheduling Lecture and Discussion Classes
for Fall and Spring Semesters and Summer Sessions
(Additions are noted in **bold print**, deletions are noted in ~~strikethrough~~)

UNC System **Revised** Policy Governing Academic Calendars for Fall and Spring Semester Classes

The academic contact hour for lecture/discussion classes is fifty minutes by custom and tradition. **The revised policy includes 14 weeks of class per semester plus one class meeting to administer final exams.**

~~The following table indicates class meeting length according to the number of contact hours (50-minute periods) during the 15-week semester. The number of minutes shown in the table is contact minutes only and does not include breaks from classroom activity.~~

Academic contact hours per week	Total semester contact minutes	Number of meeting days per week, meetings per semester, and number of contact minutes per class meeting				
		1 day/wk	2 day/wk	3 day/wk	4 day/wk	5 day/wk
		15 meetings	30 meetings	45 meetings	60 meetings	75 meetings
1	750	50	--	--	--	--
2	1500	100	50	--	--	--
3	2250	150	75	50	--	--
4	3000	200	100	70*	50	--
5	3750	250	125	85*	65*	50

*rounded

Recommended Revised Guidelines for Scheduling Lecture and Discussion Fall and Spring Semester Classes

To facilitate timely matriculation of students it is important that class scheduling be coordinated. Having a scheduled gap between classes allows students time to move from one class to another.

Lecture/discussion classes with more than 90 contact minutes per meeting should be lengthened in their scheduling to include one or more breaks of ten or fifteen minutes.

Three semester-hour credit lecture/discussion classes meeting on a Monday, Wednesday, and Friday sequence should start on the hour and be scheduled for fifty minutes. Three semester-hour credit classes meeting on a Tuesday and Thursday sequence should start at 8:00, 9:30, 11:00, 12:30 ~~or 14:00, or 15:30~~ and be scheduled for seventy-five minutes. Three semester-hour credit classes meeting on Monday and Wednesday afternoons may start on the hour or half hour and should be scheduled for seventy-five minutes. Lecture/discussion classes that are not three semester-hour credit and meet for fifty minutes on Tuesday or Thursday should start at 8:00, 10:00, 11:00, 13:00 ~~or 14:00, or 16:00~~ so as not to overlap more than one of the three semester-hour time-slots.

In order to allow greater flexibility in scheduling late afternoon and evening classes and since the availability of classrooms is less of a problem at those times, classes that have starting times of 2:30 p.m. or later are not subject to the guideline restrictions for scheduling class meeting times.

Suggested times for three semester-hour courses

MWF 8:00 – 8:50	TTh 8:00 – 9:15	MW 14:00 – 15:15
MWF 9:00 – 9:50	TTh 9:30 – 10:45	MW 15:30 – 16:45
MWF 10:00 – 10:50	TTh 11:00 – 12:15	
MWF 11:00 – 11:50	TTh 12:30 – 13:45	
MWF 12:00 – 12:50	TTh 14:00 – 15:15	
MWF 13:00 – 13:50	TTh 15:30 – 16:45	
MWF 14:00 – 14:50		
MWF 15:00 – 15:50		
MWF 16:00 – 16:50		

Faculty Senate Agenda
March 19, 2002
Attachment 2 (continued)

UNC System Policy Governing Academic Calendars for Summer Session Classes

The academic contact hour for lecture/discussion classes is fifty minutes by custom and tradition. **The revised policy includes 25 class days per summer session plus one class meeting to administer final exams.**

The following table indicates class meeting length according to the number of contact hours (50-minute periods) during the 5-week term. In order to have the contact minutes during the Summer session be consistent with contact minutes during the Fall/Spring 15-week semesters, the following table indicates how long class meetings should last during the 5-week term. The number of minutes shown in the table is contact minutes only and does not include breaks from classroom activity.

Fall/Spring academic contact hours per week	Total semester contact minutes	Number of meeting days per week, meetings per semester, and number of contact minutes per class meeting			
		2 day/wk	3 day/wk	4 day/wk	5 day/wk
		10 meetings	15 meetings	20 meetings	25 meetings
1	750	75	50	--	--
2	1500	150	100	75	60
3	2250	225	150	110*	90
4	3000	--	200	150	120
5	3750	--	--	185*	150

*rounded

Recommended Revised Guidelines for Scheduling Lecture and Discussion Summer Session Classes

To facilitate timely matriculation of students it is important that class scheduling be coordinated. Having a scheduled gap between classes allows students time to move from one class to another. Lecture/discussion classes with more than 90 contact minutes per meeting should be lengthened in their scheduling to include one or more breaks of ten or fifteen minutes.

Since most lecture/discussion classes carry three semester-hours credit, they should meet for either 90 minutes five days per week (morning) or 110 minutes (plus break minutes) four days per week (afternoon or evening). The following guidelines indicate recommended beginning and ending times for three semester-hour credit lecture/discussion classes. Other classes should either begin at one of these beginning times or end at one of these ending times. Classes that meet once a week during the Fall/Spring semesters (e.g. labs or night classes) could match their fifteen regular semester sessions by meeting three times per week during a Summer term for the same meeting length as during the Fall/Spring semesters.

In order to allow 15-minute breaks for both students and faculty between classes in the summer, lecture/discussion classes that carry three semester-hours credit are to use one of the following meeting times:

MTWThF	8:00 – 9:30
MTWThF	9:45 – 11:15
MTWThF	11:30 – 13:00
MTWTh	13:15 – 15:15 (includes 10 break minutes)
MTWTh	15:30 – 17:30 (includes 10 break minutes)
MTWTh	17:45 – 19:45 (includes 10 break minutes)
MTWTh	20:00 – 22:00 (includes 10 break minutes)

No revisions are proposed to this section of the document.
References to the Weekend Program will be deleted due to the program's elimination in December 2003.

UNC System Policy Governing Academic Calendars for Weekend Program Classes

The academic contact hour for lecture/discussion classes is fifty minutes by custom and tradition. The following table indicates class meeting length according to the number of contact hours (50-minute periods) during the Weekend University terms. In order to have the contact minutes during the Weekend University terms be consistent with contact minutes during the Fall/Spring 15-week semesters, the following table indicates how long class meetings should last during the Weekend University terms. The number of minutes shown in the table is contact minutes only and does not include breaks from classroom activity.

Fall/Spring academic contact hours per week	Total semester contact minutes	Number of meeting days per week, meetings per semester, and number of contact minutes per class meeting	
		1 day/wk	1 day/wk
		14 meetings	10 meetings
1	750	55*	75
2	1500	110*	150
3	2250	160	225
4	3000	215*	300
5	3750	--	--

*rounded

Recommended Guidelines for Scheduling Lecture/Discussion Weekend University Classes

Since most lecture/discussion classes carry three semester-hours credit, they should meet for 160 minutes (plus break minutes) per class meeting during the Fall/Spring semesters or 225 minutes (plus break minutes) per class meeting during the Summer session. The following guidelines indicate recommended beginning and ending times for three semester-hour credit lecture/discussion classes; other classes should either begin at one of these beginning times or end at one of these ending times.

Fall/Spring

Fri 18:30 – 21:40 (includes 30 break minutes)
Sat 8:00 – 11:10 (includes 30 break minutes)
Sat 11:25 – 14:35 (includes 30 break minutes)
Sat 14:50 – 18:00 (includes 30 break minutes)

Summer

Fri 18:00 – 22:20 (includes 35 break minutes)
Sat 8:00 – 12:20 (includes 35 break minutes)
Sat 13:00 – 17:20 (includes 35 break minutes)

FACULTY GOVERNANCE COMMITTEE REPORT
Proposed Revision to the *ECU Faculty Manual*, Part VI., Section VIII.
(additions noted in **bold** print)

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.

This entire section is new.

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
- _____ Health Sciences Personnel Office

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.

A copy of this report detailing the exact revisions to the current policy is being constructed and will be included here by Tuesday, March 12. All faculty will be sent an email detailing these changes.

FACULTY GOVERNANCE COMMITTEE REPORT

Proposed Revised Appendix I. ECU Policy on Conflict of Interest and Commitment for the *ECU Faculty Manual*

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- I. Introduction
- II. The Concepts at Issue
- III. Policies
 - A. Conflict of Interest
 - B. Conflict of Commitment
- IV. Categories and Examples of Potential Conflicts
- V. Submission of Conflict Evaluation Forms (Disclosures)
- VI. Review and Approval of Activities and Plans for Eliminating or Managing Conflicts
- VII. Institutional Conflict of Interest
- VIII. Enforcement of the Policies
- IX. Definitions

Example Forms:

- A. Annual Faculty/Professional Staff Disclosure Form of Potential Conflict of Commitment or Interest Activities or Relationships.
- B. Report of Activities and Relationships with Enterprises Sponsoring University Activities or Doing Business with the University.
- C. Report of Potential Conflicts of Interest Related to Students' Activities with External Enterprises.
- 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

Effective July 1, 1995, all EPA faculty members and other professional 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 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 based on policies and guidelines adopted by the UNC system Board of Governors and federal agency 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.

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 financial or 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.

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The goal of this document is to ensure that all activities are accurately disclosed and to eliminate the occurrence of inappropriate activities. 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 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. Accordingly, outside activities and financial interests must be disclosed on an annual basis. Disclosures must be updated when 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 employees shall devote their primary professional loyalty, time, and energy to their teaching, research, service, and, where applicable, patient care at the University. 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.

IV. Categories and Examples of Potential Conflicts

Activities that may involve conflicts of interest or commitment fall into three general categories that differentiate relationships according to potential for adverse impact.

Category I: 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: 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 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.

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

Category I:

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

- a. 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).
- b. 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).
- c. 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

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

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External Activities

- a. Serving on the board of directors or scientific advisory board of a business from which that individual or a member or his or her 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.
- b. Assuming an executive position in a not-for-profit business 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

- a. 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.
- b. 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.
- c. 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 a member of his or her family. Such a requirement or recommendation must be preceded by disclosure and review according to this policy.

4. Other

- a. Acceptance by the University employee or a member of his or her 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.
- b. 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

- a. 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 a member of his or her 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.
- b. 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 a member of his or her family holds a significant stock or similar significant ownership interest or has any other significant financial interest.
- c. 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 a member of his or her family has a significant financial interest, including a significant consulting relationship.

2. External Activities

- a. Assuming an executive position in a for-profit business engaged in commercial or research activities in an area related to the individual's University responsibilities.
- b. Making referrals of University business to an external business or professional office in which such individual or a member of his or her family has a significant financial interest, including a significant consulting relationship.
- c. 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

- a. 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.
- b. Unauthorized use of privileged information acquired in connection with one's University responsibilities to further one's own personal interests.

4. Administrative Responsibilities

- a. Taking administrative action in the course and scope of University responsibilities that is beneficial to a business in which the individual or a family member has a significant financial interest, including a significant consulting relationship.
- b. Influencing the negotiation of contracts between the University and an outside organization with which the individual or a family member has a significant financial interest, including a significant consulting relationship.

Committee Participation

- a. 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 a member of his or her family has a significant financial interest, including a significant consulting relationship.

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V. Submission of Conflict Evaluation Forms (Disclosures).

Policy: Effective July 1, 1995, each faculty member and all other EPA employees will be required to disclose annually for both him/herselves 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 and III 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 employee 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 full disclosure. Failure to provide full disclosure will be considered a serious breach of this policy and will be subject to 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 or his immediate family's affairs that may lead to or may be perceived to lead to a conflict with the faculty member'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.

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 are to complete and sign the annual disclosure form, which implies that the administrative superior 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
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 and his/her supervisors and presented to the Vice Chancellor of the appropriate division for concurrence. 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

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Vice Chancellor for Research or his designee will use this information 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 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, 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 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 shall inform the sponsor 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 (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 its 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 human subjects research protection (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 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 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.
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 University affiliated foundations or ordinary client-vender relationships where the University contracts for specific goods or services from a profit-making organization.

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VIII. Enforcement of the Policies

Faculty and non-faculty EPA 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 other dependent first-degree relatives, e.g., siblings, elderly parents.
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 spouse and dependents, 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 spouse and dependents 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 Form A

Year _____

EAST CAROLINA UNIVERSITY
ANNUAL FACULTY/PROFESSIONAL STAFF DISCLOSURE FORM
OF POTENTIAL CONFLICT OF COMMITMENT OR INTEREST ACTIVITIES OR RELATIONSHIPS

Completion of the following questions and associated report forms are required of all faculty and other EPA employees for compliance with the University Conflict of Interest & Commitment Policies.

This conflict evaluation form contains information that may have a direct bearing on your employment, and completing and filing this form is a condition of your employment. The form, therefore, will be included in your personnel file. As a part of the personnel file, the form will be considered strictly confidential. The information disclosed in the form is available only to individuals duly charged with the responsibility for review, and the information may be released only in accordance with and as required by North Carolina law or lawful court order.

Name _____
Dept./Unit _____

Title & Rank _____
Campus Address & Tel. _____

If the answer to any of Questions 1 to 6 is YES then complete the form: REPORT OF ACTIVITIES AND RELATIONSHIPS WITH ENTERPRISES SPONSORING UNIVERSITY ACTIVITIES OR DOING BUSINESS WITH THE UNIVERSITY

1. Are you or a member of your immediate family on the Board of Directors or any Advisory Board of an enterprise that sponsors research, outreach, extension, testing, or service projects at the University in which you are a participant or with which the University has a license agreement relating to an invention or software where you are an inventor or author?

___YES ___NO

2. Are you or a member of your immediate family an employee or serving in an executive position of an enterprise: a) that sponsors research, outreach, extension, testing, or service projects in which you are a participant; b) with which the University has a license agreement relating to an invention or software where you are an inventor or author; or c) engaged in commercial activities related to your University responsibilities?

___YES ___NO

3. Do you or a member of your immediate family have an ownership/equity interest/expectancy or other significant financial interest in an enterprise: a) that sponsors research, outreach, extension, testing or service projects; b) with which the University has a license agreement relating to an invention or software where you are an inventor or author; or c) engaged in commercial activities related to your University responsibilities?

___YES ___NO

4. Are you or a member of your immediate family engaged in external professional activities for pay or an employee of, or otherwise receiving compensation or gratuities from, an enterprise that sponsors research, outreach, extension, testing, or service projects in which you are a participant or with which the University has a license agreement relating to an invention or software where you are an inventor or author?

___YES ___NO

5. Do you supervise, select, or evaluate services provided to the University by an enterprise or do you refer University business to an enterprise in which you or a member of your immediate family have an ownership or other significant financial interest?

___YES ___NO

6. Do you participate in University clinical research on a technology developed by you or a member of your family?

___YES ___NO

If the answer to any one of the Questions 7 - 8 is YES, then complete the form: REPORT OF POTENTIAL CONFLICTS OF INTEREST RELATED TO STUDENTS' ACTIVITIES WITH EXTERNAL ENTERPRISES

7. Do you supervise any students or University personnel who work for an enterprise in which you are on the board of directors, an officer, have ownership interest, or are employed by for external professional activities for pay?

___YES ___NO

8. Do you employ or supervise any students or University personnel in your external professional activities for pay or in an enterprise in which you hold ownership/equity interest/expectancy?

___YES ___NO

If the answer to Question 9 or 10 is YES, then complete the form: REPORT OF CONFLICTS OF INTEREST RELATED TO TEACHING AND OWNERSHIP OF INTELLECTUAL PROPERTY

9. Are you or a member of your immediate family the author of a textbook, course pack, lab manual or other material for which you or your family member receives royalties or other compensation from sources other than the University, that is required for any class that you teach?

___YES ___NO

10. Is there any intellectual property (i.e., patent, trademark, copyright, or trade secret) owned by you which is used or licensed for use by the University?

___YES ___NO

ACKNOWLEDGMENT

I hereby acknowledge that I have read and understand the Policy on Conflicts of Interest and Commitment and that the aforementioned facts and situations indicate all potential conflicts of interest and commitment with regard to my position at East Carolina University according to the standards and guidelines of the Policy. If I have none, I have so indicated in the spaces provided.

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I acknowledge that I have a continuing obligation to file an updated form prior to filing the next annual report if changes arise that I believe either: (a) give rise to a potential conflict of interest, or (b) eliminate a conflict previously described.

Signed this day of _____, 19____ Signature

ADMINISTRATIVE REVIEW AND APPROVAL

To the best of my knowledge and judgment and according to the standards and guidelines of the Policy:

____ No actual or potential conflict of interest or commitment exists.

____ An actual or potential conflict of interest or commitment may exist, but does not appear to be significant. (Attach explanation.)

____ An actual or potential conflict of interest or commitment may exist that warrants further review

____ Dept. Chair/Supervisor Date

____ Dean/Senior Supervisor Date

(If Approval Is Required According to the Policy)

____ Vice Chancellor Date

(If applicable)

Example Form B

**REPORT OF ACTIVITIES AND RELATIONSHIPS WITH ENTERPRISES SPONSORING
UNIVERSITY ACTIVITIES OR DOING BUSINESS WITH THE UNIVERSITY**

Faculty responding affirmatively to one or more of Questions 1-6 on the Annual Faculty Report of Potential Conflict of Interest Activities or Relationships form must complete the reporting process by providing the information requested below. If additional space is needed attach separate sheets labeled "REPORT OF ACTIVITIES AND RELATIONSHIPS WITH ENTERPRISES SPONSORING UNIVERSITY ACTIVITIES OR DOING BUSINESS WITH THE UNIVERSITY Continued" and note the answer number for which additional information is provided. A separate form should be used to report relationships with each enterprise or corporation.

____ Employee Name Department College/School Reporting Period

If reporting for an immediate family member, give his or her name and relationship.

____ Enterprise/Corporation Name Complete Address

____ Principal Business of Enterprise/Corporation

1. Do any of your University activities sponsored by this enterprise involve technology developed at the University and which is now owned by or contractually obligated to this enterprise?
____ YES ____ NO If YES, respond to item #7.

Complete the following (2-4) if you answered YES to Questions 1,2,3 or 4 on the Annual Faculty Report Form.

2. Type of board, board committee, executive position, or other employed relationship held by you or your immediate family member.

3. Describe the responsibilities of this employed relationship.

- 4a. Describe the University activities funded by this enterprise/corporation in which you are a participant.

- 4b. Describe the invention and/or software which is licensed or the enterprise and how it relates to your work for the enterprise and for the University.

- 4c. Specify the type of funding, gifts, gratuities, consulting fees, royalties or other compensation (direct or deferred) received by you or your immediate family member (other than occasional meals, complementary copies of textbooks, etc.) from the enterprise or corporation during the last 12 months.

Complete the following if you answered YES to Questions 3 or 5 on the Annual Faculty Report Form.

5. If you answered YES to Q3, complete the following and respond to item #7.

- a. Describe the nature of your financial interest in the enterprise or corporation.

- b. If you have an ownership interest, is it less than \$10,000 per annum of equity, salary, fees or other continuing payments or which represents 5% or less ownership interest for any one enterprise or entity when aggregated for the investigator and his/her family. (See complete definition for significant financial interest, Section VIII., subsection 4.)

- c. What is the duration of the sponsored research, outreach extension, testing or service?

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6. If you answered YES to Q5, complete the following and respond to item #7.

Describe the University Position you hold in which you supervise, select or evaluate services provided to the University by the enterprise or corporation.

b. List the services involved.

c. Does the enterprise or corporation compete with services provided by the University?

____ YES ____ NO If YES, describe these services.

7. Provide a discussion of the activities and actions or safeguards you will take to prevent your activities from affecting your objectivity as a University employee or will otherwise protect the University's interest, if you answered yes to Question 3, 5 or 6 on the annual report form.

SIGNATURES:

I certify that all of the above information is correct and that I will update this information promptly as changes occur.

Employee Signature

Date

Reviewed by:

Department Head

Dean

Example Form C

**REPORT OF POTENTIAL CONFLICTS OF INTEREST RELATED TO
STUDENTS' ACTIVITIES WITH EXTERNAL ENTERPRISES**

Faculty responding affirmatively to one or more of Questions 7-8 on the Annual Faculty Report of Potential Conflict of Interest Activities or Relationships form must complete the disclosure process by providing the information requested below. If additional space is needed attach separate sheets labeled "REPORT OF POTENTIAL CONFLICTS OF INTEREST RELATED TO STUDENTS' ACTIVITIES WITH EXTERNAL ENTERPRISES Continued" and note the answer number for which additional information is provided. A separate form should be used to report relationships with each enterprise or corporation.

Employee Name Department College/School Reporting Period

If reporting for an immediate family member, give his or her name and relationship.

Enterprise/Corporation Name Complete Address

Principal Business of Enterprise/Corporation

Complete ITEMS 1-3 if you answered YES to Question 7 on the Annual Faculty Report Form.

1. Describe the number and levels of the students involved, your relationship with the enterprise, and how this relationship involved the students.

2. Describe the nature of the relationship of this enterprise with the University.

3. Discuss the actions or safeguards you will take to prevent your relationship with this enterprise from affecting your responsibilities as a University employee for supervising these students.

Complete ITEMS 4-5 if you answered YES to Question 8 on the Annual Faculty Report Form.

4. Describe the numbers of students, their status and the nature and scope of the duties for which they are employed.

5. Discuss the actions or safeguards you will take to prevent your relationship with this enterprise from affecting your responsibilities as a University employee for supervising these students.

SIGNATURES:

I certify that all of the above information is correct and that I will update this information promptly as changes occur.

Employee Signature

Date

Reviewed by:

Approved by:

Department Head

Date

Dean

Date

Example Form D

REPORT OF POTENTIAL CONFLICTS OF INTEREST RELATED TO
TEACHING AND OWNERSHIP OF INTELLECTUAL PROPERTY

Provide the following information and discussion pertaining to Questions 9 or 10 answered with a YES on the Annual Faculty Report of Potential Conflict of Interest Activities or Relationships Form. If additional space is needed for listing multiple entities or information, attach separate pages labeled "REPORT OF POTENTIAL CONFLICTS OF INTEREST RELATED TO TEACHING AND OWNERSHIP OF INTELLECTUAL PROPERTY Continued" and noting the answer number for which additional information is provided.

Employee Name _____ Department _____ College/School _____ Reporting Period _____

If you answer YES to Question 9 on the Annual Faculty Report, provide the information requested by items 1-3. Here textbook refers to any textbook, course pack, lab manual, or other course material required for a class that you teach and is authored by you or a member of your immediate family.

1. Textbook title or nature of specific course material:
2. List the course (number and title) for which this textbook is required:
3. Describe the process used and the basis by which this textbook was chosen for this course instead of other comparable textbooks or materials.

If you answered YES to Question 10 on the Annual Faculty Report, provide the information requested in items 4-6.

4. Describe the intellectual property owned by you that is used by the University.
5. How is this intellectual property selected for use by the University?
6. Do you receive any compensation of any type whatsoever as a result of the use of such intellectual property by the University?
7. Does the University's use of this intellectual property affect or potentially affect your objectivity as a University employee?
____ YES ____ NO. Why or why not?

If your answer is YES above, then explain what safeguards exist.

SIGNATURES:

I certify that all of the above information is correct and that I will update this information promptly as changes occur.

Employee Signature: _____ Date _____

Reviewed by: _____ Approved by: _____

Department Chair _____ Date _____ Dean _____ Date _____

Example Form E

NOTICE OF INTENT TO ENGAGE IN EXTERNAL PROFESSIONAL ACTIVITIES FOR PAY

Date _____ (name), a full-time employee, 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 12-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 (see Policy section 3.b.):
 - (1) Second summer session (post July 1) _____
 - (2) Fall semester _____
 - (3) Spring semester _____
 - (4) First summer session (pre July 1) _____

Faculty Senate Agenda
March 19, 2002
Attachment 4 (continued)

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

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:

a. Will the activity entail the use of any University resources (see discussion at section 2.e. of Policy - UNC General Administration Policy Statement on External Professional Activities of Faculty and Other Professional Staff (1993))?

() 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.

Signature: _____

Department _____

Academic Rank or Job Title _____

Administrative Title (if any) _____

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".

- Contracting organization:
- Beginning and ending date of activity (if complete):
- Average hours per week devoted to this activity:
- Total number of hours devoted to this activity:
- Nature of Professional Activity:
- Date Notice of Intent was filed:

ADMINISTRATIVE ACTION ON NOTICE OF INTENT

1. Reviewed activity determined to be consistent with University policy.

_____ Date

_____ Department Head

Other action (as required):

_____ Date

_____ Dean or Other Administrative Officer *

* Approval by dean or other administrative officer to whom department head reports is required if question 8 or question 9.a. or 9.b. is answered in the affirmative.

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2. Reviewed activity determined not to be consistent with University policy.

Date
Action on appeal (if any):

Date

Date

Department Head

Action taken

Dean or Other Administrative Officer

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 12-month employees) or for the balance of the academic year (for 9-month employees); see UNC General Administrative Policy Statement on External Professional Activities of Faculty and Other Professional Staff (1993) Section 3.b.

FACULTY INFORMATION TECHNOLOGY COMMITTEE REPORT

Report on the Proposed Student Computer Requirement

In a 9 to 2 vote on October 8, 2001, the Faculty Information Technology Committee approved, in concept, the proposal to require all incoming freshman to purchase a computer.

Following the vote, the committee continued discussions with IT staff and solicited faculty input on the proposed requirement. This report summarizes the committee's fact-finding efforts and recommendation on this issue.

Approximately 140 faculty members responded to an e-mail questionnaire designed to gauge faculty attitudes toward the proposal. Excerpts from those responses are tabulated below:

At this time, do you feel computer ownership for incoming freshman should be mandatory?

Total number of Responses = 110 Yes 39% No 46% Qualified 18%

Would students in your courses suffer academically if they used computers in on-campus computer labs for their course work instead of computers they owned themselves?

Total number of Responses = 79 Yes 13% No 77% Qualified 10%

Will you change/adjust your undergraduate courses if ECU initiates a student computer ownership requirement?

Total number of Responses = 79 Yes 23% No 66% Qualified 11%

When we cross-tabulated the first two questions we found that 23% of respondents that felt computer ownership should be mandatory for incoming freshman, stated that students in their classes would suffer academically if they used computers in on-campus labs rather than their own computers. 66% of those same respondents stated that students would not suffer academically.

RECOMMENDATION:

Based on the committee vote and on input from faculty, the FITC recommends that incoming freshman be required to purchase computers as soon as is logistically feasible. Before this student computer requirement is implemented, however, the FITC requests that the following faculty concerns be directly addressed:

- In light of impending tuition increases and the ongoing student computer fee requirement, what financial impact will this requirement have on students?
 - Will the requirement apply to all students, including part time and distance education students, or just full-time students?
 - What financial aid will be available for disadvantaged students?
 - What financial aid will be available for students in the financial "middle" – those who are not in a position to get grants, but do not want to increase their student loan load or to be forced to work extra hours to pay for a computer?
 - What specific policy will be put in place for students who choose a major that requires a computer different from the one purchased in freshman year? Would it be better to require all students to purchase a computer at the time they declare a major? Could such a delay also decrease the possibility that students will graduate with dated hardware and software?
 - Will this requirement have any effect on the way student computer fees are used? If so, in what way?
 - Is there a plan in place to make all ECU classrooms technology-ready? If so, what is that plan and when will it be implemented?
- Because the student computer requirement will not be enforced, what tangible impact will it have on the educational mission of the university?
- How would non-enforcement affect the stated goal of student computer literacy at graduation?

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Attachment 5 (continued)

- Is maintaining ECU's "most wired" status a justification for the additional financial burden imposed by a student computer requirement?
- Given that 77% of faculty responding to the question say their students would not suffer academically without a computer ownership requirement..... why the requirement?
- How will this requirement affect the overall number and distribution of on-campus computers available for student use? Faculty members are concerned that any reduction in the availability of computer lab resources would be detrimental to the educational mission of the university.
- What level of repair service will be provided for student-owned computers and at what cost to the student? Will turnaround on repairs be fast enough to prevent students from getting behind in their class work? If not, what mechanism will be in place to provide students with sufficient computer access to avoid getting behind?
- Many classes require specialized software and hardware currently available in campus computer labs. (Requiring students to purchase such software and hardware would be prohibitively expensive.) What steps will be taken to insure that a student computer requirement won't reduce support of such high-end software and hardware?
- Working in on-campus computer labs has an advantage: students interact over complex problems. What physical computer facilities will remain in place to allow non-discipline-specific, collaborative group work?
- Would student ownership cause problems for faculty who couldn't depend on the current level of student access to our well-maintained and up-to-date general-purpose labs?
- Would students be required to have Internet access in their homes? If so, what type of service will be required and at what additional cost to the students? If not, how will faculty who use the web in class assignments be assured their students will be able to complete those assignments?
- Would faculty be provided sufficient support – hardware, software, and training, instructional technology consultation – to handle the suddenly increased deployment of computers on campus?