

EAST CAROLINA UNIVERSITY 2013-2014 FACULTY SENATE

The third regular meeting of the 2013-2014 Faculty Senate will be held on **Tuesday, November 5, 2013**, at 2:10 in the Mendenhall Student Center Great Room.

FULL AGENDA

(Revised 10/31/13 with additions noted in **red**)

- I. Call to Order
- II. Approval of Minutes
October 1, 2013
- III. Special Order of the Day
 - A. Roll Call
 - B. Announcements
 - C. Steve Ballard, Chancellor
 - D. Marilyn Sheerer, Provost and Vice Chancellor for Academic Affairs
UNC Memo on Adjunct Work Hours and Informational Table
 - E. Mark Sprague, Chair of the Faculty
 - F. Andrew Morehead, UNC Faculty Assembly Delegate
Report on the October 25, 2013 UNC Faculty Assembly Meeting, **including consideration of resolutions on System-wide Core Competencies and Communication with Boards of Trustees** (attachment 1).
 - G. Approval of the Fall 2013 Graduation Roster, including honors program graduates
 - H. Question Period
- IV. Unfinished Business
- V. Report of Graduate Council
 - 1. Formal faculty advice on curriculum and academic matters acted on and recorded in the September 16, 2013 Graduate Council meeting minutes, including a request for time extension, discussion on a withdrawal policy revision and waiver of GRE requirement.
 - 2. Formal faculty advice on curriculum matters acted on and recorded in the September 4, 2013 Graduate Curriculum Committee meeting minutes, including two new courses in the Department of Public Health and discussion on 5000-level SOP and annual graduate banked courses catalog cleanup.
- VI. Report of Committees
 - A. Committee on Committees, Britton Theurer
Election of Appellate Hearing Committee member (attachment 2).

B. Calendar Committee, Mark McCarthy

Inclusion of MATH 1066 in the common final exam schedule necessitating revisions to Spring 2014, Fall 2014, Spring 2015 approved University calendars (attachment 3).

C. Faculty Governance Committee, Edson Justiniano

Formal Faculty Advice on the East Carolina University Regulation on Individual Conflicts of Interest and Commitment Including External Activities for Pay (attachment 4).

D. Educational Policies and Planning Committee, Ed Stellwag

Curriculum and academic program matters acted on and recorded in the [October 11, 2013](#) Committee meeting minutes, including:

1. Request to establish [new undergraduate concentrations](#) within the Department of Biology, request to discontinue a [Certificate in Virtual Reality in Education and Training](#) within the College of Education, request to discontinue the [minor in Media Studies](#) within the School of Communication, and a request to establish a new [graduate certificate program in Health Communication](#) within the School of Communication.
2. [Academic Program Review](#) of the Department of Geological Sciences and [response](#) to the external review recommendations.
3. [Academic Program Review](#) of the Department of Technology Systems (within College of Technology and Computer Science) and [response](#) to the external review recommendations.
4. [Academic Program Review](#) of the Counselor Education (within College of Education) and [response](#) to the external review recommendations.
5. [Administrative Program Review](#) of the Joyner Library and [response](#) to the external review recommendations.
6. [Administrative Program Review](#) of the Health Sciences Library and [response](#) to the external review recommendations.
7. For information only - 2013-2017 [Schedule](#) of unit academic reviews (Seven-Year Cycle or Accreditation Cycle).

E. Writing Across the Curriculum Committee, Hector Garza

Curriculum matters acted on and recorded in the [October 14, 2013](#) Committee meeting minutes, including:

1. Proposed course cap of 25 students per section for Writing Intensive (WI) courses.
2. Proposed changes to procedures making all sections of a course, if requested and approved, designated as a Writing Intensive (WI) course.
3. Revised Writing-Intensive course proposal form (attachment 5).
4. Request for Removal of WI designation for [SOCI 4385](#): Theoretical Perspectives and Applications and Request for WI status for [POLS 2090](#): Writing for Political Science.

VII. New Business

2013-11 Resolution on System-wide Core Competencies

(Approved by the UNC Faculty Assembly, October 25, 2013)

- Whereas**, the five-year strategic plan, "Our Time, Our Future: The UNC Compact with North Carolina" has defined as a major priority the implementation of system-wide assessments of academic core competencies; and
- Whereas**, the UNC Strategic Directions General Education Council has, after considered deliberation, recommended *Critical Thinking* and *Written Communication* as system-wide core competencies most appropriate for assessment; and
- Whereas**, the Faculty Assembly has resolved that the University of North Carolina, under the imprimatur of its constitutive faculty, must offer a general comprehensive education (as articulated in Resolution 2012-06); and
- Whereas**, the Faculty Assembly has also resolved that an effective curriculum is essential to the development of critical skills necessary for students to become productive citizens and leaders of North Carolina, and that faculty recognize these core competencies as vital to student success (as articulated in Resolution 2012-07); and
- Whereas**, the core competencies of *Critical Thinking* and *Written Communication* are widely recognized by faculty as expressions of a general comprehensive education and as fundamental requirements for successful mastery in all academic disciplines; and
- Whereas**, economic leaders in North Carolina and nationwide agree that *Critical Thinking* and *Written Communication* are fundamental to career success as cited in the Listening Sessions Summary (Strategic Directions Initiatives 2013-2018, Appendices) and
- Whereas**, our regional accrediting agency, the Southern Association of Colleges and Schools (SACS), periodically and comprehensively examines and affirms the quality of educational programs and requires that the institution place primary responsibility for the content, quality, and effectiveness of the curriculum with its faculty;
- Therefore, Be It Resolved That** the Faculty Assembly endorses the General Education Council's choice of *Critical Thinking* and *Written Communication* as two system-wide core competencies for the UNC system; and
- Be It Further Resolved That** all core competencies adopted by the UNC system must be approved by the faculty of the constituent institutions on their respective campuses as required by their responsibilities for curricular matters; and
- Be It Further Resolved That** the faculty at the constituent institutions must have primary responsibility for the development and administration of assessment instruments consistent with the missions of their respective campuses.

The following items are relevant to and/or cited in the resolution:

- Core Competency Survey Results Overview (9-26-13)
- AAC&U Value Rubrics for Critical Thinking and Written Communication
- Listening Session Summary
- Faculty Assembly Resolution 2012-06
- Faculty Assembly Resolution 2012-07
- Faculty Assembly Resolution 2013-07
- October 25, 2013 – GEC report to the Faculty Assembly (Timeline and Food for Thought re Core Competencies_McNelis_23Oct2013)
- October 17, 2013 – GEC Core Competencies RECOMMENDATION

- September 5, 2013 – GEC Update
- The 2013-2018 UNC Strategic Plan
(http://www.northcarolina.edu/strategic_direction/Overview.htm)
- Faculty Advisory Council on Strategic Directions November 2012 report to the Strategic Directions committee (see, especially, Sections II and III)
(<http://www.northcarolina.edu/reports/index.php?page=download&id=1637&inline=1>)
- FAC and FA response to the Strategic Plan and the FAC SDI report
(http://www.northcarolina.edu/facultyassembly/19Jan2013_Faculty_Assembly_Response_to_the_Jan16_Draft_of_th.pdf)
- ASG response to the Strategic Plan
(http://www.northcarolina.edu/strategic_direction/appendix/ASG_Response_to_Strategic_Plan_Draft.pdf)
- Staff Assembly response to the Strategic Plan
(http://www.northcarolina.edu/facultyassembly/2013-01_Staff_Assembly_Letter_of_Support.pdf)

Proposed Resolution in Support of System-wide Core Competencies

Whereas, the five-year strategic plan, “Our Time, Our Future: The UNC Compact with North Carolina” has defined as a major priority the implementation of system-wide assessments of academic core competencies; and

Whereas, the UNC Strategic Directions General Education Council has, after considered deliberation, recommended Critical Thinking and Written Communication as system-wide core competencies most appropriate for assessment; and

Whereas, UNC Faculty Assembly resolution 2013-11 endorses the core constituencies recommended by UNC Strategic Directions General Education Council and requests campus votes to approve the competencies; and

Whereas, the UNC Faculty Assembly has resolved that the University of North Carolina, under the imprimatur of its constitutive faculty, must offer a general comprehensive education (as articulated in Resolution 2012-06); and

Whereas, the UNC Faculty Assembly has also resolved that an effective curriculum is essential to the development of critical skills necessary for students to become productive citizens and leaders of North Carolina, and that faculty recognize these core competencies as vital to student success (as articulated in Resolution 2012-07); and

Whereas, the core competencies of Critical Thinking and Written Communication are widely recognized by faculty as expressions of a general comprehensive education and as fundamental requirements for successful mastery in all academic disciplines; and

Whereas, economic leaders in North Carolina and nationwide agree that Critical Thinking and Written Communication are fundamental to career success as cited in the Listening Sessions Summary (Strategic Directions Initiatives 2013-2018, Appendices) and

Whereas, our regional accrediting agency, the Southern Association of Colleges and Schools (SACS), periodically and comprehensively examines and affirms the quality of educational programs and requires that the institution place primary responsibility for the content, quality, and effectiveness of the curriculum with its faculty;

Therefore, Be It Resolved That the ECU Faculty Senate endorses the General Education Council's choice of Critical Thinking and Written Communication as two system-wide core competencies for the UNC system; and

Be It Further Resolved That the faculty of ECU and other the constituent UNC institutions must have primary responsibility for the development and administration of assessment instruments consistent with the missions of their respective campuses.

2013-09 Resolution on Faculty Senate Communication with Boards of Trustees

(Approved by the UNC Faculty Assembly, October 25, 2013)

Whereas, faculty communication is essential with every decision maker regarding the operations of each institution; and

Whereas, the faculty have established communication with provosts, chancellors, and UNC-GA administrators; and

Whereas, some faculty governance bodies do not have established avenues of communication with the Board of Trustees of their institution; and

Whereas, the Board of Trustees are key decision-makers regarding the operations of each institution;

Therefore, Be It Resolved That each Faculty Senate Chair should present an oral and/or written report to the Board of Trustees on a regular basis.

Proposed Resolution in Support of UNC Faculty Communication with Boards of Trustees

Whereas, faculty communication is essential with every decision maker regarding the operations of each institution; and

Whereas, the faculty have established communication with provosts, chancellors, and UNC-GA administrators; and

Whereas, although the ECU Board of Trustees meetings include a report from the ECU Chair of the Faculty, some faculty governance bodies at UNC institutions do not have established avenues of communication with the Board of Trustees of their institution; and

Whereas, the Board of Trustees are key decision-makers regarding the operations of each institution; and

Whereas, UNC Faculty Assembly resolution 2013-09 calls for regular oral and/or written reports from campus faculty senate chairs to their boards of trustees.

Therefore, Be It Resolved That the ECU Faculty Senate endorses UNC Faculty Assembly solution 2013-09 that each UNC institution Faculty Senate Chair should present an oral and/or written report to the Board of Trustees on a regular basis.

Faculty Senate Agenda
November 5, 2013
Attachment 2.

COMMITTEE ON COMMITTEES REPORT
Election of Appellate Hearing Committee member

Regular Members (with vote)	Academic Unit	Term	Office Location	Mail #	Office #
Angela Thompson	History	2014	Brewster A-203	554	328-1035
Mamadi Corra	Sociology	2014	Brewster A-420	567	328-4836
Christine Zoller	Art and Design	2015	Jenkins 1312	502	328-1321
OPEN		2016			
Lisa Barricella Secretary	Academic Library Services	2016	Joyner 1201	516	328-0838
Alternate Members (with vote)					
Natalie Stewart	Theatre and Dance	2014	Messick 216	553	328-2110
Nancy Spalding	Political Science	2014	Brewster A-127	564	328-6030
Lida Cope	English	2015	Bate 2118	555	328-6411
Deedee Glascoff	Health and Human Performance	2015	Belk 2308	559	328-6583
Eric Shouse	Communication	2016	Joyner East 124	524	328-0433

Faculty Senate Agenda
November 5, 2013
Attachment 3.

CALENDAR COMMITTEE REPORT
Addition of MATH 1066 to Common Final Exam Schedule

The Committee supports a request from the faculty within the Department of Mathematics to include MATH 1066 within the common final exam schedule in approved University calendars, excluding Fall 2013. This addition will include adding the following text to the Spring 2014, Fall 2014, Spring 2015 approved calendars:

Spring 2014

"MATH 1066 5:00 – 7:30 Wednesday, May 7"

Fall 2014

"MATH 1066 5:00 – 7:30 Thursday, December 11"

Spring 2015

"MATH 1066 5:00 – 7:30 Wednesday, May 6"

FACULTY GOVERNANCE COMMITTEE REPORT

Formal Faculty Advice on the East Carolina University Regulation on Individual Conflicts of Interest and Commitment Including External Activities for Pay

Authority: Chancellor

History: Adopted effective August 24, 2012.

Related Policies:

Additional References:

Contact for Info: Office of Research Integrity and Compliance,
Assistant Director 252-328-9474.

1. Introduction and Purpose

- 1.1 Consistent with the research, teaching and public service missions of East Carolina University (the "University"), the University encourages members of the University community (employees, visiting scholars, and students) to engage in appropriate outside relationships with private industry and the nonprofit sector. But members of the University community are expected to avoid conflicts of interest or commitment that have the potential to directly and significantly affect the University's interests, compromise objectivity in carrying out University responsibilities, or otherwise compromise performance of University responsibilities, unless such conflicts are disclosed, reviewed, and managed in accordance with this Regulation. This Regulation on Individual Conflicts of Interest and Commitment (hereinafter, the "Regulation") describes the University's approach and process for identifying, reviewing, and managing such relationships to help assure the integrity of University endeavors. Members of the University community shall devote sufficient professional loyalty, time, and energy to their University employment responsibilities. Accordingly, University community members shall not engage in activities outside of their employment that involves an inordinate investment of time that interferes with the member's obligations to students, to colleagues, and/or to missions of the University.
- 1.2 A member of the University community (employees, visiting scholars, and students) may be found to have a conflict of interest when he or she or any of that person's family possesses a personal or financial interest related to an activity that involves his or her University responsibilities. Through this Regulation, the University seeks to minimize the most obvious and avoidable conflicts of interest that have potential for serious negative effects on performance of its missions. The requirement that an individual's potential conflicts of interest be disclosed and evaluated by others is not a reflection or assessment of the integrity of the individual. Moreover, the fact that an individual may be found to have a conflict does not imply that the conflict is unethical or impermissible; it means simply that the relation of the conflict to the individual's institutional responsibilities must be examined and in some cases managed as they may impair performance of the University's mission.
- 1.3 This Regulation is consistent with, and supplements the University of North Carolina's Policy on Conflict of Interest and Commitment, *The UNC Policy Manual* 300.2.2; the

University of North Carolina's Guidelines on Implementing the UNC Conflict of Interest and Commitment Policy, *The UNC Policy Manual* 300.2.2[G]; the University of North Carolina's Regulations on External Professional Activities for Pay by Faculty and Non-Faculty EPA Employees, *The UNC Policy Manual* 300.2.2.1[R]; the University of North Carolina's Regulations for Senior Academic and Administrative Officers on External Professional Activities for Pay and Honoraria, *The UNC Policy Manual* 300.2.2.2[R]; and, implements the Public Health Services regulations on Financial Conflicts of Interest, including that entitled 'Promoting Objectivity in Research' located at 42 CFR 50 and that entitled, 'Responsible Prospective Contractors' located at 45 CFR 94.

2. Definitions of Selected Terms

- 2.1 "Conflict of Commitment" (COC) exists when a Covered Individual's external activity interferes with the individual's obligations to students, to colleagues, and/or to missions of the University. Such interfering external activities are unacceptable. Conflicts of commitment may also arise in connection with non-compensated activities and a conflict of commitment may exist notwithstanding that a Covered Individual received no economic benefit from the outside activity. The issue, in each case, is whether the Covered Individual is meeting the requirements of the job.
- 2.2 "Conflict of Interest" (COI) exists when financial or other personal considerations, circumstances, or relationships may compromise, may involve the potential for compromising, or may have the appearance of compromising a Covered Individual's objectivity in fulfilling their University duties or responsibilities. The University utilizes the definition of Conflict of Interest specified in the University of North Carolina's Policy on Conflict of Interest and Commitment, *The UNC Policy Manual* 300.2.2.
- 2.3 "External Professional Activities for Pay" (EPAP) is defined as any activity that 1) is not included in one's University employment responsibilities; 2) is performed for any entity, public or private, other than the University employer; 3) is undertaken for compensation; and 4) is based upon the professional knowledge, experience and abilities for which the Covered Individual is employed. External activities for pay of Clinical Support Services ("CSS") employees, as well as those employees covered by the State Personnel Act, are addressed in the State Personnel Act, Section 3 Employment and Records, Secondary Employment and in the *ECU Business Manual* (Human Resources, Policy Statements, Employment Policies (SPA/CSS), Secondary Employment). The University utilizes the definition of External Professional Activities for Pay specified in the University of North Carolina's Policy on Conflict of Interest and Commitment, *The UNC Policy Manual* 300.2.2.
- 2.4 "Conflict of Interest Committee" (COIC) is an ad-hoc committee formed to advise the Institutional Official on conflict of interest matters as arising, staffed with the best available expertise for the question at hand. Each such committee shall consist of at least the Assistant Director of the Office of Research Integrity and Compliance (ORIC), the Associate Vice Chancellor for Research and Graduate Studies, and the appropriate Associate Dean for Research or other administrator designated by the Dean within an academic college or the Covered Individual's immediate supervisor. Four or more additional committee members shall be chosen for relevant expertise, such that the majority of the committee membership (of at least seven) shall be faculty members and/or staff without administrative appointment.
- 2.5 "Conflict of Interest Officer" (COIO) means the individual within the Institution that is delegated responsibility for the solicitation and review of disclosures of Conflicts of Interest and External Professional Activities for Pay. The COIO is delegated authority from the Institutional Official to handle the day-to-day operations of COI management.

For the purposes of this Regulation, the Conflict of Interest Officer is designated as the Assistant Director of the Office of Research Integrity and Compliance (ORIC) or his/her designee.

- 2.6 "Covered Individual" refers to several categories of University-related individuals. First, Covered Individuals include all University EPA employees (Faculty and non-Faculty). Second it includes any individual, regardless of employment status or type, involved in externally funded University activities including the design, conduct or reporting of research. The second group may include but is not necessarily limited to State Personnel Act (SPA) employees, visiting scholars, post-docs, and students or trainees. The definition of Covered Individual may be extended to other categories within a Division, or College, or School, or Department, or Office by the associated administrator with Vice Chancellor approval. Every Covered Individual is required by this Regulation to disclose Conflicts of Interest.
- 2.7 "Disclosure" refers to a formal statement made by a Covered Individual that a Conflict of Interest or Commitment does or may exist. At a minimum, disclosures are made annually or when changes occur. At ECU disclosures are made using an on-line system managed by the Office of Research Integrity and Compliance (ORIC). Disclosures are not viewed negatively but often need a management plan.
- 2.8 "Executive Position" refers to any position that includes responsibilities for a material segment of the operation, management or oversight of a business, including Board membership.
- 2.9 "Family" of a Covered Individual includes his or her spouse and dependent children.
- 2.10 "Financial Conflict of Interest" (FCOI) means a Financial Interest that could directly and significantly affect the design, conduct, or reporting of research or creative activity, service projects and any other activities associated with achieving the Universities mission.
- 2.11 "Financial Interest" means one of more of the following interests of a Covered Individual (and Family) that appear to be reasonably related to a Covered Individual's Institutional Responsibilities.

"Financial Interest" of a Covered Individual includes:

- 2.11.1 Salary external to the University, royalties (including royalties distributed to a Covered Individual or his or her Family through the University), or other payments, including consulting fees or Honoraria (except as excluded below), received by a Covered Individual or his or her Family in the twelve months preceding disclosure or anticipated in the twelve months following disclosure;
- 2.11.2 Equity interest held by a Covered Individual or his or her Family in publicly-traded or non-publicly traded entities), in the twelve months preceding or anticipated in the twelve months following disclosure;
- 2.11.3 Intellectual Property rights and interests (including inventorship) held by a Covered Individual or his or her Family in the twelve months preceding or anticipated in the twelve months following disclosure; and
- 2.11.4 Gifts that have been made to the University for the direct benefit of the research or other professional activities of a Covered Individual in the twelve months preceding or anticipated in the twelve months following disclosure.
- 2.11.5 Note that Financial Interests of an Investigator include Financial Interests of the Investigator's Family, as defined above.

"Financial Interest" does not include:

- 2.11.6 Salary or other remuneration (not listed above) from the University;
- 2.11.7 Income from seminars, lectures, or teaching engagements sponsored by a Federal, state, or local government agency, an institution of higher education, an academic teaching hospital, a medical center, or a research institution that is affiliated with an institution of higher education;
- 2.11.8 Income from service on advisory committees or review panels for a Federal, state, or local government agency, an institution of higher education, an academic teaching hospital, a medical center, or a research institution that is affiliated with an institution of higher education;
- 2.11.9 Income from investment vehicles, such as mutual funds or blind trusts, where a Covered Individual or Family has no control over the selection of holdings.
- 2.12 "Honoraria" means a payment made to a person for services rendered in a volunteer capacity, or situations where the giver does not have legal obligations, or for services where fees are not traditionally negotiated or expected.
- 2.13 "Human Subjects Research" means any systematic investigation (a) that is designed to develop or contribute to generalizable knowledge and (b) that obtains data through intervention or interaction with living human individuals and/or obtains identifiable private information about living human individuals, including by means of the observation or recording of behavior. Intervention includes both physical procedures and manipulations of the human subject or human subject's environment that are performed for study purposes. Interaction includes communication or interpersonal contact between an investigator and a human subject. Private information includes information that individuals can reasonably expect will not be made public. This definition also encompasses any experiment that involves a test article and one or more human subjects (i.e., a "clinical investigation" per FDA regulations).
- 2.14 "Institution" is East Carolina University.
- 2.15 "Institutional Official" means the individual within the Institution with authority and oversight for the solicitation and review of disclosures of Significant Financial Interests including those of the Investigator's Family related to the Investigator's Institutional Responsibilities. For the purposes of this Regulation, the Institutional Official is designated as the Vice Chancellor for Research and Graduate Studies. Implementation is delegated to the COIO, Assistant Director of the Office of Research Integrity and Compliance (ORIC).
- 2.16 "Institutional Responsibilities" for employees means teaching, research, clinical practice, service, administrative duties, and other assigned duties for the University. (See additional information at "University Employment Responsibilities", at Section 2.25, below.) For students, trainees, or visiting scholars, these institutional responsibilities mean adherence to the applicable policies, procedures, rules and/or guidelines which describe and define each student or trainee's relationship with or to the Institution.
- 2.17 "Investigator" means the principal investigator, project director, key personnel and any other person, regardless of title or position, who is responsible for the design, conduct or reporting of a Project. "Responsible for the design, conduct and reporting" means for an individual to be part of the Project in any capacity that allows for the possibility of affecting its results. Investigators may also include research study coordinators, research assistants, graduate students or others. For the purposes of this Regulation,

research collaborators or independent consultants may also be considered Investigators depending upon their activities on the Project. The term Investigator is not intended to apply to individuals who primarily provide technical support, administrative support, or who are purely advisory, such that these individuals have no influence over the research results (e.g., control over data collection, analysis or reporting).

- 2.18 "Personal Interest" means an executive, consulting or advisory position external to the Institution, but which is related to an activity that involves or is related to a Covered Individual's Institutional Responsibilities. These activities may or may not be compensated.
- 2.19 "Project" means any research, creative activity, testing, evaluation, service, training, and/or instructional plan conducted under the auspices of the University.
- 2.20 "Public Health Service" (PHS) means the section of the U.S. Department of Health and Human Services, and any components of the PHS to which the authority of the PHS may be delegated. The components of the PHS include, but are not limited to: the Administration for Children and Families; Administration on Aging; Agency for Healthcare Research and Quality; Agency for Toxic Substances and Disease Registry; Centers for Disease Control and Prevention; Federal Occupational Health, Food and Drug Administration; Health Resources and Services Administration; Indian Health Service; National Institutes of Health; and, Substance Abuse and Mental Health Services Administration. Funding overseen by the financial conflict of interest regulations is issued by the Department of Health and Human Services (DHHS) and administered by the National Institute of Health (NIH).
- 2.21 "Reimbursed or Sponsored Travel" means any travel that is not covered directly through the University and for which an Investigator either receives direct reimbursement from, or is covered by, an external entity. For the purposes of this Regulation, reimbursed or sponsored travel is only applicable to PHS funded Investigators, or by agencies that adopt PHS (or similar) regulations such as those in 'Promoting Objectivity in Research' located at 42 CFR 50 and that entitled, 'Responsible Prospective Contractors' located at 45 CFR 94.
- 2.22 "Senior/Key Personnel" means the Principal Investigator/Project Director and any other person identified as senior/key personnel by the University in a grant application, research protocol, progress report, or any other report submitted to a PHS awarding component.
- 2.23 "Significant Financial Interest" means a Financial Interest that reasonably appears to be related to the Investigator's Institutional Responsibilities, and:
 - 2.23.1 With regard to any publicly traded entity, the value of any remuneration (including salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship)) received from the entity in the twelve (12) months preceding the disclosure and the value of any equity interest (including any stock, stock option, or other ownership interest as determined through reference to public prices or other reasonable measures of fair market value) in the entity as of the date of the disclosure, when aggregated, exceeds \$5,000; or
 - 2.23.2 With regard to any non-publicly traded entity, the value of any remuneration (including salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship)) received from the entity in the twelve (12) months preceding the disclosure, when aggregated, exceeds \$5,000; or

2.23.3 With regard to any non-publicly-traded company, the Investigator or his or her Family holds any equity interest (at any time); or

2.23.4 Intellectual property rights (e.g. patents, copyrights, etc.) and interests, upon receipt of income related to such rights and interests, provided, however, income derived from intellectual property rights assigned to the Institution and agreements to share in royalties related to such rights are not a Financial Interest.

2.24 "Supervisor" is the individual to whom a covered individual reports. He/she is typically the individual who conducts the covered individual's annual evaluation. In the case of faculty, the supervisor is typically a department chair or school director. Other supervisors include office directors or department heads. At ECU, the supervisor is typically indicated in the letter of appointment.

2.25 "University Employment Responsibilities" include "Primary Duties" and "Secondary Duties." Primary Duties consist of all formally assigned employment duties. Secondary Duties may include professional affiliations and activities traditionally undertaken by Covered Individuals outside of the immediate University employment context. Secondary Duties may or may not entail the receipt of honoraria, remuneration (see additional Regulations for Senior Academic and Administrative Officers on External Professional Activities for Pay and Honoraria, The *UNC Policy Manual*, 300.2.2.2 [R]) or the reimbursement of expenses. Secondary Duties may include membership in and service to professional associations and learned societies; membership on professional review or advisory panels; presentation of lectures, papers, concerts or exhibits; participation in seminars and conferences; reviewing or editing scholarly publications and books without receipt of compensation; and service to accreditation bodies, when these are not assigned as Primary Duties. Secondary Duties are encouraged, provided they do not conflict or interfere with the timely and effective performance of the individual's Primary University Duties and/or University policies. (See additional information at "Institutional Responsibilities", at Section 2.16, above.)

3. Applicability

3.1 This Regulation applies to Covered Individuals (see definition 2.6).

3.2 Under this Regulation, the interest of a Covered Individual's Family are considered to be the "same as" the Covered Individual and should be disclosed as applicable. However, the families of covered individuals are not expected to complete COIC training.

3.3 All Covered Individuals are required to receive COI training and annually complete a COI disclosure.

4. Conflict of Commitment

4.1 The term "conflict of commitment" relates to an employee's distribution of effort between University Employment Responsibilities or Institutional Responsibilities, and external professional activities.

4.2 All EPA Faculty and EPA non-Faculty employees of the University are expected to devote sufficient professional loyalty, time and energy in order to fulfill their University Employment Responsibilities/Institutional Responsibilities. Accordingly, outside professional activities and outside financial interests must be arranged so as not to interfere with the performance of University Employment Responsibilities/Institutional Responsibilities. External activities for pay of Clinical Support Services ("CSS") employees, as well as those employees covered by the State Personnel Act, are

addressed in the State Personnel Act, Section 3 Employment and Records, Secondary Employment and in the *ECU Business Manual* (Human Resources, Policy Statements, Employment Policies (SPA/CSS), Secondary Employment).

- 4.3 These external activities, which demonstrate active participation in a profession, are encouraged, provided they do not conflict or interfere with the timely and effective performance of the employee's primary Institutional Responsibilities or University policies.
- 4.4 In accordance with the University of North Carolina Board of Governors' Conflict of Interest and Commitment and Regulations on External Professional Activities for Pay by Faculty and Non-Faculty EPA Employees, all EPA Faculty and EPA non-Faculty employees of the University may participate in activities for compensation outside of their University Employment Responsibilities/Institutional Duties. Employees are required to receive approval in advance for External Professional Activities for Pay (EPAP), except for contract employees performing such activities for pay entirely outside the months of their University contract employment (e.g., 9-month faculty members during any sessions for which they are not contracted to perform University Employment Responsibilities/Institutional Responsibilities). Nine-month faculty members under University contract to perform University Employment Responsibilities/Institutional Responsibilities during summer sessions are required to disclose any EPAPs in advance and in accordance with this Regulation.
- 4.5 University Regulation does not provide that an EPA faculty or non-faculty employee is entitled to engage in any EPAP for any specific or set percentage of time. Rather, an employee's supervisor always has the discretion to determine whether a proposed external activity is appropriate in scope and duration or constitutes excessive time or attention away from University Employment Responsibilities/Institutional Responsibilities.
- 4.6 While EPAPs may convey some implied benefit to an employee's position or, in general, to the University, such activities are not considered part of any employee's University Employment Responsibilities/Institutional Responsibilities; however, they may be considered related to University Employment Responsibilities/Institutional Responsibilities and should be disclosed as Personal or Financial Interests as applicable.
- 4.7 Employees may not use any University resources in support of these types of activities except as provided in Section 5.C., below. While not inclusive of all resources, some examples of University resources that may not be used as part of, or in support of, an EPAP include the assignment of student or staff to work on an EPAP. Please see Section 5.C. in this Regulation for further guidance. In addition to the criteria articulated in Section 5.C., below, the use of University resources in support of an EPAP must be associated with the Covered Individual's "Secondary Duties" as defined in Section 2.25, above.
- 4.8 Required Action:
 - 4.8.1 Any potential Conflicts of Commitment between primary and secondary duties are subject to review by the employee's supervisor, department Chair or unit head.
 - 4.8.2 An EPA faculty or non-faculty employee who intends to engage in an EPAP is required to file a "Notice of Intent for an External Professional Activity for Pay" at least ten (10) business days before engaging in the activity.

- 4.8.3 An EPA faculty or non-faculty employee who is a University inventor seeking to engage in external professional activity, compensated or uncompensated, with an entity that proposes to license, has licensed or has otherwise acquired rights to his or her invention should include this information in the EPAP request so that the supervisor is notified of this relationship and the Supervisor can consult with the Office of Technology Transfer. (See "Intellectual Property Transactions" section, below).
- 4.8.4 The Supervisor should respond within 10 business days of the filing of the "Notice of Intent". Any EPAP request that is denied or not acted upon by the Supervisor within 10 business days may be submitted by the Covered Individual to the next higher administrative level.

5. Conflict of Interest

At a minimum, all Covered Individuals are required to receive COI training and annually complete a COI disclosure. Other circumstances may require a Covered Individual to complete more frequent disclosures as indicated, below.

5.1 Acceptance by Individuals of Gifts or Favors from External Entities

- 5.1.1 Generally, University employees may neither accept nor offer, either directly or indirectly, any personal gift, favor, or loan to or from an organization, entity or person that currently has a contract with the University, has performed under a contract with the University within the past year, or anticipates bidding on a contract with the University in the future, unless the gift is nominal. (N.C. GEN. STAT. § 133-32.)
- 5.1.2 A "nominal" gift occurs where the fair market value of an individual gift is less than fifteen dollars (\$15.00), and all payments, gifts or favors from the same or related source within a single calendar year is less than forty dollars (\$40.00). Cash gifts of any size are not considered nominal. Individual units (schools, colleges) of the University may adopt stricter policies to which any employee of that school must adhere.
- 5.1.3 However, meals, texts, or customary Honoraria may be provided to EPA faculty or non-faculty employees in connection with allowed activities. Although customary honoraria and reimbursement for actual costs generally are not considered to be gifts, if reimbursements or Honoraria are significantly in excess of fair market value or customary amounts (e.g., expensive resort sojourns, coverage of family member expenses, etc.), they are defacto gifts.
- 5.1.4 University employees also may not accept any financial or other favors in exchange for privileged access by current or potential University vendors to University facilities or employees. Any personal compensation a Project sponsor pays to or for the benefit of a Covered Individual outside of contracted project support to the University must be reported by the Covered Individual.
- 5.1.5 A University employee may not receive compensation from an external source for performance of University work except through a University contract or grant. Any situation that involves a grant or a contract and an EPAP requires careful COIC management.

5.2 Gifts to the University or an Affiliated Foundation for the Benefit of a Covered Individual

- 5.2.1 For purposes of this Regulation, gifts and donations that have been made to the University or to a University-affiliated foundation for the benefit of the professional activities of a Covered Individual are considered to be a Financial Interest of the

intended beneficiary, even though such gifts or donations are not the legal property of the beneficiary.

- 5.2.2 Such gifts and donations, where they coincide with University activities undertaken by the beneficiary that relate to the entity making the gift or donation, may create a Conflict of Interest, and they shall be disclosed by that individual as required under this Regulation as for any other Financial Interest when the Covered Individual completes an applicable COI disclosure.

5.3 Use of University Resources, including Confidential and/or Privileged Information

- 5.3.1 This Regulation is intended to facilitate the ethical transfer of various forms of technology and expertise from the University for the economic benefit of North Carolina and society in general. Benefits to the State (e.g., job creation, tax revenues, patents, license income) that derive from this type of interaction should help to justify the uses of the State's resources (i.e., costs).
- 5.3.2 All such transfers of technology and expertise should make concerted efforts to involve the University's existing transfer support services, e.g., the Office of Sponsored Programs and the Office of Technology Transfer. In addition to these transfer support services, the Office of Grants and Contracts has established efficient mechanisms for facilitating high frequency/low value service transactions between individual units of the University and external non-governmental entities.
- 5.3.3 Covered Individuals may not use, for non-University purposes, any University-funded or supported resources including, but not limited to, University facilities, administrative offices, work product, results, materials, property records, or information developed with University funding or other University support except as otherwise allowed (see below) and in compliance with the following criteria:
 - 5.3.3.1 The overall cost to the University must be negligible, i.e., the marginal cost of the use is nearly zero.
 - 5.3.3.2 The use must not interfere with a University employee's obligation to carry out University Employment Responsibilities / Institutional Responsibilities in a timely and effective manner. Time spent engaged in the non-official use of University resources is not considered to be University's work time.
 - 5.3.3.3 The use must in no way undermine the use of University resources and services for official purposes, nor interfere in any way with the University's mission.
 - 5.3.3.4 The use neither expresses nor implies sponsorship or endorsement by the University. One context in which this situation might occur for a faculty or EPA non-faculty employee is an EPAP. Mere identification of the University as one's employer and of one's position at the University is permitted, provided that such identification is not used in a manner that implies sponsorship or endorsement by the University.
 - 5.3.3.5 The use must be consistent with state and federal laws regarding obscenity, libel, or the like, and state and federal laws and University policies regarding political activity, the marketing of products or services, conditions associated with University-licensed software, or other inappropriate activities.
 - 5.3.3.6 Users should be aware that internal or external audit or other needs may require examination of uses of University resources or services and should not expect such uses to be free from inspection.

- 5.3.3.7 The use of specialized equipment and/or facilities for EPAPs must comply with all of the aforementioned criteria, must be approved by the Covered Individual's Supervisor and the next higher University official (e.g., chair and dean) and, must adhere to applicable policies.
- 5.3.3.8 The use must not violate applicable University policies on resource use including but not limited to information technology and space.
- 5.3.4 Each case will depend upon the particular circumstances and other important factors which may include, but may not be limited to, materiality, reasonableness, and/or relatedness to University Employment Duties/Institutional Responsibilities. Control of resource use lies with each employee's Supervisor, as that person should have direct knowledge of the behaviors and needs of the individual employee and the unit's resource capacities/costs. Employees should consult with their Supervisors in advance if they have any questions about appropriateness of certain practices. A Supervisor's decision cannot, however, circumvent other policies and procedures of the University that may restrict personal use beyond the limitations cited herein. For example, the use of University information technologies such as telephones, fax machines, mail services, and vehicles must comply with existing University policies, and the use of University resources in political activity is prohibited. Any resource use must not violate the conditions associated with University-licensed software.
- 5.3.5 Even with access to existing University transfer support services in (OSP, OTT, OGC), it is acknowledged that a Covered Individual may directly benefit in this type of transfer through outside consulting. All External Activities for Pay (EPAP), including outside consulting, engaged in by a Covered Individual must be approved by the immediate Supervisor.
- 5.3.6 Although determining negligible resource use resides primarily with the Covered Individual's Supervisor, this Regulation provides additional guidance. Covered Individuals may use their personally assigned University resources (such as office, telephone, computer) to engage in outside work that is of net benefit to the State and related to their expertise and technology transfer subject to the following conditions: the work (EPAP) is approved, there is little or no additional cost to the University, uses are reasonable in terms of duration and frequency, uses do not interfere with Primary University Responsibilities, uses do not disrupt or distract from University business due to volume or frequency, uses do not interfere with other University employees, uses do not compromise the security or integrity of University property, information, or software, and uses do not violate other University, UNC, state, or federal policies.
- 5.3.7 Covered Individuals may use university resources in a responsible way in fulfilling all Primary University Responsibilities. Covered Individuals also may use university resources in a responsible way in fulfilling all Secondary University Responsibilities including those that involve EPAP. However, all EPAP must be disclosed and approved.
- 5.3.8 Covered Individuals may not use University resources in the conduct of EPAP that does not involve Primary University Duties or Secondary University Duties. As examples, Covered Individuals in the pursuit of these types of EPAP may not: (1) use their University email account, (2) use state vehicles, (3) charge long-distance phone calls to the University, (4) use University office supplies, (5) involve other University employees or students, (6) store data on University digital devices, and (7) use University-licensed software.

- 5.3.9 Any exceptions to the strict prohibition of University resource use in the conduct of EPAP not involving Primary or Secondary University Duties must be documented in writing, approved by the immediate Supervisor and the next higher administrator, e.g., Chair and Dean. In such exceptional cases, there must be clear evidence of significant benefits to the State and to the University. As a part of the exception approval process, the unit involved may request payment for the resources being used in the EPAP.
- 5.3.10 Use of University facilities or resources that are governed by a facility use agreement entered into between a third party and the University must be undertaken in accordance with the terms of that Agreement. Such agreements are also subject to a conflict of interest review by the Conflict of Interest Officer. Any Covered Individual who is named in a facility use agreement will be deemed to have a Conflict of Interest under this Regulation. Facility use agreements are developed in accordance with the PRR entitled, "Use of University Facilities and Outdoor Facilities."
- 5.3.11 Confidential or privileged information acquired by the University may not be used by a Covered Individual for personal gain, nor may any Covered Individual permit unauthorized access to such confidential or privileged information. Insider trading is just one form of impermissible use of privileged information for personal gain. Other confidential University information includes, but is not limited to, that information protected by the Health Insurance Portability and Accountability Act of 1996, now codified at Title XI, Part C of the Social Security Act and all regulations promulgated thereunder ("HIPAA"); the Family Educational Rights and Privacy Act, 20 U.S.C. § 1232g; 34 CFR Part 99 ("FERPA"); and, the Privacy of State Employee Personnel Records, N.C. GEN. STAT. § 126-22 *et seq.*; as any/all of these may change from time to time. Covered Individuals should avoid any arrangements through which they may risk sharing confidential University information acquired through their University Employment Duties/Institutional Responsibilities.
- 5.4 Purchasing, Contracting, Other Business Transactions on behalf of the University
- 5.4.1 A University employee generally may not participate in awarding, negotiating, reviewing or approving a financial transaction (including but not limited to purchases, contracts, and subcontracts) involving the University and an entity in which the Covered Individual has a personal financial interest without prior review and approval as described immediately below. Where an employee is involved in the design, conduct or reporting of University research related to that employee's Financial Interest, that potential conflict of interest is governed by the sections below entitled "Intellectual Property Transactions" and "Research and Sponsored Projects." In addition, an employee may assist in the negotiation of license agreements for University intellectual property as allowed under the University's applicable intellectual property policies, rules, regulations, and procedures.
- 5.4.2 Required Action:
- 5.4.2.1 University employees involved in the negotiation, approval or administration of University contracts with external entities must file the applicable Conflict of Interest Disclosures with the University's Conflict of Interest Officer. See the section below entitled "F. University Administrative Roles."
- 5.4.2.2 If a University employee has not filed an applicable Conflict of Interest Disclosures disclosing Personal and/or Financial Interests but is prospectively involved in awarding, negotiating, reviewing or approving a financial

transaction involving the University and an entity where there is Personal and/or Financial Interest of that individual, the potential conflict of interest must be reported to the employee's supervisor. The supervisor shall reassign that transaction to another employee with prior approval and such management as recommended by the Conflict of Interest Officer.

5.5 Intellectual Property Transactions

5.5.1 The University's mission includes fostering the invention and development of new patentable and non-patentable technologies, methodologies or copyrights. The University attempts to license many of these innovations to commercial entities so that University research results may reach the market for the public good. The University must be protected from both real and perceived inappropriate "pipelining" of University innovations to entities in which University inventors have Personal or Financial Interests. The University's facilities and resources must not be used to the advantage of the licensee entity without advance and specific authorization consistent with applicable University policies, rules, regulations, and procedures.

5.5.2 Required Action:

- 5.5.2.1 All Covered Individuals who are University inventors are required to disclose their and their Family's Personal or Financial Interests related to the invention in the course of the licensing process as detailed in the University's applicable intellectual property policies, rules, regulations, and procedures.
- 5.5.2.2 Covered Individuals who are University inventors of technologies licensed or otherwise made available through contract by the University to a third party must complete and submit an applicable Conflict of Interest Disclosure before execution of the license or other agreement by the Office of Technology Transfer. Any Covered Individual who is an inventor and who holds equity in, is an officer or director of, or provides consultative services to an entity that has licensed or otherwise acquired rights to University invention(s) or copyright(s) will be deemed to have a Conflict of Interest under this Regulation.
- 5.5.2.3 Updated Conflict of Interest Disclosures must be submitted to the University's Conflict of Interest Officer promptly when changes arise that may either: (a) give rise to a reportable Personal or Financial Interest; (b) eliminate a previously reported Personal or Financial Interest; or (c) result in an affirmative answer to any question previously answered in the negative.
- 5.5.2.4 Additionally, external consulting relationships between a Covered Individual who is a University inventor and the holder of a University license for the inventor's technology are permitted only when reviewed and approved in advance, both as detailed in the Conflict of Commitment section above.

5.6 University Administrative Roles

5.6.1 By virtue of their role, individuals in administrative positions may have substantial influence in personnel actions, resource allocation, and contracting, and must take particular care to avoid relationships that have the potential to advantage the individual but adversely affect the University's interests or inject inappropriate considerations into administrative decisions. They must be vigilant in ensuring that their exercises of administrative decisions are not, and do not appear to be, biased by their personal Financial Interests.

5.6.2 Required Action:

- 5.6.2.1 Like other Covered Individuals, all University deans, vice chancellors, directors, chairs, department administrators, advancement personnel and any other similarly situated employee deemed by his or her supervisor or the Conflict of Interest Officer to be routinely involved in decisions regarding professional appointments, promotions, tenure, allocations of space, determinations of salary, staffing decisions or the review, award, or administration of University contracts must complete an applicable Conflict of Interest Disclosure.
- 5.6.2.2 Updated Conflict of Interest Disclosures must be submitted promptly when changes arise that may either: (a) give rise to a new Personal or Financial Interest; (b) eliminate a previously reported Personal or Financial Interest; or (c) result in an affirmative answer to any question previously answered in the negative.

5.7 University Review Panels, Committees and/or Councils

- 5.7.1 There are also important conflict of interest responsibilities for individuals participating on panels, committees, or councils providing administrative review and evaluation on behalf of the University. Examples of such panels, committees, or councils include, but are not limited to, Institutional Review Boards (IRB), Institutional Animal Care and Use Committee (IACUC), Conflict of Interest Committees, and grievance and/or appellate panels or committees, etc.

5.7.2 Required Action:

- 5.7.2.1 If any individual member of a University review panel has a Financial or Personal Interest (including a Family Member's interests) in a matter subject to the panel, committee, or council's review, that individual must report the potential Conflict of Interest to the panel, committee, or council's chair or to the panel, committee, or council's administrative director. If the panel, committee, or council deems the conflict to be material to the matter under review, the panel, committee, or council member shall recuse himself or herself (or be recused) and shall not participate in the related review process. The recusal shall be documented in the panel, committee, or council's minutes. The offices that provide oversight over such panels, committees, or councils may provide further guidance to their respective panels, committees, or councils.

5.8 Research and Sponsored Projects

The following sections of this Regulation contain requirements applicable to all Projects, regardless of level or source of funding. Certain provisions apply to all Covered Individuals, while others are limited to Investigators, or further limited to Investigators engaged in PHS-funded research. It is the responsibility of each Covered Individual to understand which of the following provisions and associated required actions are applicable in the performance of his or her Institutional Responsibilities.

5.8.1 Training

Training is required of all Covered Individuals prior to involvement in any Project and at least every four years thereafter. Such training will inform the Covered Individual of the University's Regulations, an Investigator's disclosure responsibilities and federal regulations on Financial Conflicts of Interest.

5.8.1.1 Required Action:

- 5.8.1.1.1 All Covered Individuals will need to complete the COI training modules through the on-line system. Training completion will be reflected in the related campus on-line research systems. Funding for any sponsored Project or approval for any Human Subjects Research may not proceed until all of the Covered Individuals involved in these activities have completed the COI training.
- 5.8.1.1.2 For Covered Individuals new to the University, training will be completed prior to involvement in any Project. Investigators are also subject to re-training when either of the following circumstances occurs: (1) the University determines that a Investigator is not in compliance with the University Regulation or his/her specific management plan or (2) the University revises its Regulation in a manner that affects the requirements of Investigators' responsibilities.
- 5.8.1.1.3 Alternative training options for those Covered Individuals with special circumstances may be proposed by an Investigator and approved on a case-by-case basis by the Conflict of Interest Officer.

5.8.2 Disclosure

- 5.8.2.1 Disclosure is required from all Investigators involved in any Project that is submitted through the Office of Sponsored Programs (OSP) or the Office of Human Research Integrity (OHRI). Investigators are required to complete any applicable Disclosures and provide details regarding their Personal or Financial Interests as necessary in the conflict of interest review process. Disclosure must include any Personal or Financial Interest, regardless of level or type of compensation, and any uncompensated position, board membership, or consultancy with or for an external entity involved in the Project in any way, including as a sponsor, subcontractor, sub-recipient, or as an owner or licensee of any product, process or technology studied in the Project.
- 5.8.2.2 For the purpose of this Regulation, Investigator includes the principal investigator, project director, key personnel and any other person, regardless of title or position, who is responsible for the design, conduct or reporting of a Project. "Responsible for the design, conduct and reporting" means for an individual to be part of the Project in any capacity that allows for the possibility of affecting its results. Investigators may also include research study coordinators, research assistants, graduate students or others. For the purposes of this Regulation, research collaborators or independent consultants may also be considered Investigators depending upon their activities on the Project.
- 5.8.2.3 The term Investigator is not intended to apply to individuals who primarily provide technical support, administrative support, or who are purely advisory, such that these individuals have no influence over the research results (e.g. control over its collection, analysis or reporting).
- 5.8.2.4 The Principal Investigator or Project Director on each Project is responsible for ensuring that each individual who qualifies as an Investigator has completed a Conflict of Interest Disclosure as required under this Regulation.
- 5.8.2.5 Required Action:

- 5.8.2.5.1 All Covered Individuals are required to complete and submit a Conflict of Interest Disclosure annually (by June 30 for the previous year). Investigators must update their Disclosures with each Project submitted to OSP or OHRI. In addition, Covered Individuals are responsible for updating their Conflict of Interest Disclosures within 30 (thirty) days when changes arise that may either: (a) give rise to a Personal or Financial Interest; (b) eliminate a previously reported Financial Interest; or (c) result in an affirmative answer to any question on any Conflict of Interest Disclosures previously answered in the negative.
- 5.8.2.5.2 Any Investigator new to the University must complete a Disclosure related to a Project submission or an annual form within 30 (thirty) days from the commencement of employment.
- 5.8.2.5.3 For the purposes of this Regulation, external research collaborators or independent contractors who are determined to be Investigators will need to comply with this Regulation if not covered by a PHS compliant conflict of interest Regulation at their own organization or institution and documentation of such compliance is required.

5.8.3 Review

- 5.8.3.1 Each Disclosure is submitted through the on-line system to the University's Conflict of Interest Officer. Review of Disclosures will determine whether there is a Conflict of Interest of any level or type and a specific review to determine if a Financial Conflict of Interest (FCOI) exists.
- 5.8.3.2 Potential conflict of interests include any Financial or Personal Interest, regardless of level or type of compensation, and any uncompensated position, board membership, or consultancy with or for an external entity involved in the Project in any way, including as a sponsor, subcontractor, subrecipient, or as an owner or licensee of any product, process or technology studied in the Project.
- 5.8.3.3 The review will include an analysis of the Covered Individual's or Investigator's Personal and Financial Interests and relatedness to his/her Institutional Responsibilities. Whether the interests are determined to be an actual Conflict of Interest will depend upon the nature of the Personal and/or Financial Interests, the relatedness of the responsibilities and the nature of the activities potentially affected by the disclosed Personal or Financial Interest. Specific review will be conducted to determine if the disclosed interests meets the federal definition of being a FCOI.
- 5.8.3.4 Subject to special provisions regarding particular types of University relationships (such as Small Business Innovation Research (SBIR) or Small Business Technology Transfer (STTR) Agreements, see below), the following guidelines are generally applicable:
 - 5.8.3.4.1 Where an Investigator proposes to be engaged in the design, conduct or reporting of University research other than Human Subjects Research, his or her Conflict of Interest or FCOI may be allowed with University approval and appropriate management.
 - 5.8.3.4.2 Where an Investigator proposes to be involved in the design, conduct or reporting of University Human Subjects Research, he or she may not have a Personal or Financial Interest of any level or value reasonably judged to

be significantly and directly related to the outcomes of such research, absent a showing by the Investigator of compelling circumstances justifying continuation of involvement in the Project notwithstanding the these Interests.

Compelling circumstances are those facts that convince the reviewer that an Investigator who has a Personal or Financial Interest judged to be significantly and directly related to the research should be permitted to conduct Human Subjects Research, taking into account the following factors:

- a. The nature of the research;
- b. The magnitude of the interest and the degree to which it is related to the research;
- c. The extent to which the Financial Interest could be directly and substantially affected by the research;
- d. The degree of risk to the human subjects involved that is inherent in the research protocol;
- e. The extent to which the Investigator is uniquely qualified to perform a research study with important public benefit; and
- f. The extent to which the Personal or Financial Interest is amenable to effective oversight and management.

5.8.3.4.3 The training experience and academic progress of University students and trainees must not be subordinated to the Personal or Financial interest of an Investigator or commercial interests of research sponsors.

5.8.3.5 Where a Conflict of Interest or FCOI poses the risk that University activities may be inappropriately affected, the conflict must be managed, reduced or eliminated.

5.8.3.6 Required Actions:

5.8.3.6.1 The Investigator will be contacted at the sequential stages of the process to indicate the status of the review. Any Conflict of Interest Disclosures submitted by an Investigator will be processed as specified in this Regulation.

5.8.3.6.2 When the need for a Conflict of Interest Disclosure is indicated through the review processes of any applicable University review panel or any other University office, the research or other contract for which the form is indicated or the initiation of Human Subject Research may not proceed until the Conflict of Interest Disclosures have been evaluated and the disclosed Conflict of Interest has been approved or managed. Violation of this provision by any Covered Individual may lead to disciplinary action as described in Section 8, below.

5.8.4 Small Business Innovation Research (SBIR) / Small Business Technology Transfer (STTR)

5.8.4.1 Of special concern are federally sponsored SBIR or STTR research projects that involve association with small business entities. Due to the potential for a Conflict of Interest, a Covered Individual may not conduct research or administrative activities in conjunction with a Phase II SBIR or STTR project

on behalf of both the University and the grantee or sub-grantee company without compelling evidence to support execution of both roles. Approval must be received through the conflict of interest review in accordance with the standards in this Regulation prior to the commencement of any activities arising from such collaboration. Phase I SBIR and STTR Projects are not subject to the PHS COI regulations.

5.8.5 Compliance with External Sponsors

- 5.8.5.1 The University will be compliant regarding conflict of interest standards as required by the terms of its agreement with external sponsors.
- 5.8.5.2 The University will submit reports to federal or other sponsors as required under applicable federal regulations. Reports on significant FCOIs for those Investigators with PHS funding shall be submitted to the PHS awarding component in accordance with the PHS awarding component guidelines ("FCOI Reports"). Significant FCOI Reports shall be submitted prior to the University's expenditure of funds under the PHS funded project and annually thereafter. In addition, the University must submit an FCOI Report within sixty (60) days of the identification of any new significant FCOIs (e.g., upon the participation of an Investigator who is new to the research).
- 5.8.5.3 For Projects funded by the National Science Foundation ("NSF"), the University will inform the NSF's Office of General Counsel if the University is unable to satisfactorily manage an FCOI.
- 5.8.5.4 Required Action:
 - 5.8.5.4.1 FCOI Reports shall include a statement that the University has implemented a management plan, as well as key elements of the management plan and other information regarding the nature and value of the Financial Interest as required under PHS regulations.

5.8.6 Provisions Specific to Research Funded by Certain Federal Sponsors

The following sections contain requirements that apply to research funded by certain Federal sponsors. Accordingly, the following sections have a more narrow application than the prior sections that apply to all Projects.

5.8.6.1 Travel and Paid Authorship

- 5.8.6.1.1 As detailed in the PHS regulations, Investigators who receive PHS research funding are also required to disclose 1) reimbursed or compensated travel and 2) paid authorship. PHS funded Investigators must disclose any Reimbursed or Sponsored Travel related to their Institutional Responsibilities. Such sponsored travel will be reported to PHS if it exceeds \$5,000 annually from one entity. The University will determine if any travel disclosure requires further review, including but not limited to the disclosure of the monetary value of the travel. Additionally PHS funded Investigators must disclose any income greater than \$5,000 in aggregate received from any paid authorship, including textbooks.

5.8.6.1.2 Required Action:

- 5.8.6.1.2.1 PHS funded Investigators must disclose the occurrence of any Reimbursed or Sponsored Travel, with exclusions, related to their Institutional Responsibilities and will provide the sponsor or organizer, purpose of the travel, destination and duration of the

travel. Generally, exclusions from disclosure include any travel paid directly by the University, a US government entity or a US academic institution.

- 5.8.6.1.2.2 Disclosure for paid authorship exceeding \$5,000 in aggregate can be submitted through the on-line Disclosure system, and must be submitted no less than annually.

5.8.6.2 Public Accessibility

- 5.8.6.2.1 In accordance with the federal regulations, the University will make information available to the public regarding significant FCOIs for those Senior/Key Personnel in conjunction with a specifically PHS funded research project through responding to a written request.

5.8.6.2.2 Required Action:

- 5.8.6.2.2.1 More specific information on public accessibility to the FCOI information is set forth in 6.3, below.

5.8.6.3 Subcontracts

- 5.8.6.3.1 If the University carries out research funded by the PHS through sub recipients, contractors, or collaborators, the University must take reasonable steps to ensure that Investigators working for such entities either (1) comply with this Regulation or (2) the entity has its own Regulation that meets applicable federal requirements on financial conflicts of interest.

5.8.6.3.2 Required Action:

- 5.8.6.3.2.1 For research sponsored by the PHS, the University's Office of Sponsored Programs requires that a sub-recipient provides an indication during the application process of contractual assurance of its compliance with PHS's Regulation on conflict of interest or the intent to comply with the University's Regulation.
- 5.8.6.3.2.2 If the sub-recipient provides assurance of its own Regulation, there is a contractual obligation that includes a requirement that the sub recipient report to the University's Office of Sponsored Programs the following information for any FCOI of sub recipient Investigators: (a) sub recipient contract number; (b) name of the sub recipient Investigator with the FCOI; (c) name of the entity with which the Investigator has a FCOI; (d) nature of the financial interest (e.g., equity, consulting, etc.); (e) value of the financial interest; (f) a description of how the financial interest relates to the PHS-funded research and the basis for the sub-recipient's determination that the financial interest conflicts with the PHS funded research; and (g) a description of the management plan.
- 5.8.6.3.2.3 The Office of Grants and Contracts will forward a copy of each such sub-recipient report, identified by PHS grant number, to the Principal Investigator for reporting to the PHS awarding component.
- 5.8.6.3.2.4 If the sub-recipient chooses to comply with the University's Regulation, then the sub-recipient will contact the Conflict of Interest Officer and a statement to this effect will be included in the sub-award contract. All sub recipient Investigators known at the

time of application must be identified and complete the necessary disclosure process and applicable training as detailed in this Regulation. If additional Investigators are identified by the sub-recipient at the time of the sub-award contract, these Investigators must complete the applicable Conflict of Interest Disclosures and applicable conflict of interest training before the sub-award can be granted. In these instances, the University will report to the PHS-awarding component Significant Financial Interests related to sub recipient Investigators in the same manner as it reports Significant Financial Interests related to its Investigators.

6. Records: Confidentiality and Retention

6.1 Confidentiality

Conflict of Interest Disclosures, review information and any related management plans containing information that may have a direct bearing on a Covered Individual's employment are considered to be part of the Covered Individual's Personnel File. The confidentiality of personnel files is governed by N.C. Gen. Stat. § 126-22.

6.2 Records Retention

All records relating to the reporting of potential conflicts of interest and commitment, and to the actions taken with respect to those disclosures, reports or plans, shall be maintained for three years if no conflicts of interest are disclosed or six years if an actual/potential conflicts of interest exists following the expiration of their relevance, or as required by applicable government regulations, whichever is greater.

6.3 Public Accessibility

6.3.1 Prior to the expenditure of any funds under a PHS-funded research project, the Institution will respond to any requestor within five (5) business days of the request, and provide information concerning any Significant Financial Interest disclosed to the Institution by senior/key personnel that meets the following criteria:

6.3.1.1 The Significant Financial Interest was disclosed and is still held by the senior/key personnel;

6.3.1.2 A determination has been made that the Significant Financial Interest is related to the PHS-funded research; and

6.3.1.3 A determination has been made that the Significant Financial Interest is a Financial Conflict of Interest.

6.3.2 In accordance with the federal regulations, the University will make information available to the public regarding Significant Financial Interests for those Senior/Key Personnel in conjunction with a specifically PHS funded research Project. Requests must be submitted in writing to the Office of Research Integrity and Compliance (ORIC). Any such requests should also be copied to the Office of the University Attorney. Responses to requests will be provided within the required five business days from the date of receipt at the Office of the University Attorney. The request should identify the specific PHS Project number and senior/key personnel for which the information is being requested. When requesting in writing, a return address must be provided.

6.3.3 The University will note in its written response that the information is current as of the date of the correspondence, and is subject to updates at least annually and within 60 days of the University's identification of a new Significant Financial Interest

, which must be requested under separate cover by the requestor. In accordance with PHS regulations, the following information will be provided:

- 6.3.3.1 Name of entity in which the significant FCOI is held;
- 6.3.3.2 Name of Investigator with a conflicted interest;
- 6.3.3.3 Investigator's title and role with respect to the PHS research Project;
- 6.3.3.4 Nature of the Financial Interest (e.g. equity, consulting fee, travel reimbursement, honorarium); and
- 6.3.3.5 Value of the Financial Interest (in ranges), or a statement that the interest is one whose value cannot be readily determined through reference to public prices or other reasonable measure of fair market value.

7. Regulation and Implementation

- 7.1 The Chancellor delegates responsibility for overseeing the implementation of this Regulation to the Vice Chancellor for Research and Graduate Studies as the Institutional Official. Day-to-day responsibility for such implementation is delegated through the Division of Research and Graduate Studies, to the Office of Research Integrity and Compliance (ORIC). The University will make this Regulation available on its website.
- 7.2 In addition, the Vice Chancellor for Research and Graduate Studies will appoint an ad-hoc Conflict of Interest Committee as described above, which will be authorized to make recommendations to the Vice Chancellor for Research and Graduate Studies for appropriate changes to this Regulation, along with such other recommendations regarding the disclosure, evaluation, approval and management of Conflicts of Interest as is deemed appropriate.

8. Regulation Breaches, Administrative Actions & Sanctions

- 8.1 Possible sanctions for violation of this Regulation, including furnishing false, misleading, or incomplete information, can range from administrative intervention to termination of employment or of enrollment, all in accordance with applicable University policies. Violations may include, but are not limited to: (a) failure to comply with the process (by failure to disclose timely Personal or Financial Interests as required, by failure or refusal to respond to requests for additional information, by providing incomplete or knowingly inaccurate information, or otherwise); (b) failure to remedy conflicts; and (c) failure to comply with a prescribed management agreement or monitoring plan.
- 8.2 When the University identifies a Financial Interest that was not timely disclosed by an Investigator or, for whatever reason, was not previously reviewed by the University during an ongoing Project (such that it was not timely reviewed or reported by a sub-recipient), the Conflict of Interest Officer will, within 60 days: (1) review the Financial Interest, (2) determine whether it is related to the research, and (3) determine whether a Significant Financial Interest exists. If a Significant Financial Interest is determined to exist, the University will implement, on at least an interim basis, a management plan that shall specify the actions that have been, and will be, taken to manage the Significant Financial Interest going forward.
- 8.3 At any time that either the Conflict of Interest Officer or the Institutional Official becomes aware of a potential violation of this Regulation or of any other situation that could indicate that University research, education and training may have been affected inappropriately by a Conflict of Interest, the Conflict of Interest Officer shall conduct a preliminary investigation to determine whether the concerns appear to be warranted.

- 8.4 On receipt of such a concern, the Conflict of Interest Officer shall notify the University Attorney and the Institutional Official/Vice Chancellor for Research and Graduate Studies. In consultation with those persons, the Conflict of Interest Officer may:
- 8.4.1 Investigate the matter and make a written memorandum of his or her conclusions with recommendations to the Institutional Official;
 - 8.4.2 Request that the person or committee assigned to monitor the activity conduct an investigation and file a written report with the Institutional Official of the results of that investigation; or
 - 8.4.3 The Institutional Official may appoint another faculty member or a committee of faculty members to conduct an investigation and file a written report with the Institutional Official of the results of that investigation.
- 8.5 Any such investigation should, at a minimum, include a personal interview with the person bringing forth the allegations or concerns and a personal interview with the Covered Individual, who should be informed with specificity of the allegations or concerns that have arisen. While the Covered Individual has a right to know the identity of a person making such allegations, he or she should be informed that University policy prohibits retaliation against a person making such allegations in good faith.
- 8.6 Upon determination that a violation of this Regulation has occurred or of the existence of a situation that could indicate that University research, education, training, business administration or other performance may have been affected inappropriately by a Conflict of Interest, the Conflict of Interest Officer should inform the Institutional Official so an ad hoc Conflict of Interest committee can be convened to review the violation and recommend other actions and/or sanctions under other appropriate University policies. Such possible actions and/or sanctions could include, but may not be limited to, a letter of reprimand; increased monitoring of the Conflict of Interest; and/or other appropriate disciplinary actions, up to and including dismissal from employment or enrollment in accordance with applicable University policies and procedures. The Conflict of Interest Officer, in consultation with the Institutional Official/Vice Chancellor for Research and Graduate Studies, shall have the authority to direct that the research activities of the Covered Individual affected by the Conflict of Interest be suspended pending conclusion of an investigation or, on conclusion of an investigation, that they be suspended pending resolution of the Regulation violation.
- 8.7 Upon a determination that no violation of this Regulation has occurred, or otherwise at the conclusion of any investigation conducted under this Regulation, all materials generated in the course of such investigation should be placed with the Covered Individual's personnel file or, if a student, with the Office of the Vice Chancellor for Student Affairs, marked as "confidential" and stored in a secure manner, in order to ensure the confidentiality of these records.
- 8.8 *The concluding sections provide additional guidance for breaches, administrative actions and sanctions when PHS-funded projects are involved.*
- 8.8.1 In addition, whenever a Significant Financial Interest is not identified or managed in a timely manner due to: (1) failure by the Investigator to disclose a Financial Interest that is determined by the University to constitute a Significant Financial Interest, (2) failure by the University to review or manage a Significant Financial Interest, or (3) failure by the Investigator to comply with a Significant Financial Interest management plan, the University shall, within 120 days of the University's determination of noncompliance, complete a retrospective review of the

Investigator's activities and the PHS-funded research project to determine whether any PHS-funded research, or portion thereof, conducted during the time period of the noncompliance, was biased in the design, conduct, or reporting of such research.

- 8.8.2 If a determination of bias is made during the retrospective review, a mitigation report will be completed. Mitigation reports will include among other elements, a description of the impact of the bias on the PHS-funded Project and the University's action or actions taken to eliminate or mitigate the effect of the bias. In those instances where the Department of Health and Human Services determines that a PHS-funded project of clinical research whose purpose is to evaluate the safety or effectiveness of a drug, medical device, or treatment has been designed, conducted, or reported by an Investigator with a Significant Financial Interest that was not managed or reported by the University as required under PHS regulations, the University will require the Investigator involved to disclose the Significant Financial Interest in each public presentation of the results of the research and to request an addendum to previously published presentation.
- 8.8.3 For PHS funded Projects, the University and Investigators are subject to the following additional procedures when a Significant Financial Interest is not identified or managed in a timely manner including failure by the Investigator to disclose a Financial Interest that is determined by the University to constitute a Significant Financial Interest; failure by the University to review or manage such a Significant Financial Interest; or failure by the Investigator to comply with a Significant Financial Interest management plan.
 - 8.8.3.1 The University must implement, on at least an interim basis, a management plan that shall specify the actions that have been, and will be, taken to manage such Significant Financial Interest going forward;
 - 8.8.3.2 Within 120 days of the University's determination of noncompliance, the University must complete a retrospective review of the Investigator's activities and the PHS funded Project to determine whether any PHS-funded research, or portion thereof, conducted during the time period of the noncompliance, was biased in the design, conduct, or reporting of such research.
 - 8.8.3.3 The University must document the retrospective review and include, at minimum, the following information:
 - 8.8.3.3.1 Project number;
 - 8.8.3.3.2 Project title;
 - 8.8.3.3.3 PD/PI or contact PD/PI if a multiple PD/PI model is used;
 - 8.8.3.3.4 Name of the Investigator with the Significant Financial Interest;
 - 8.8.3.3.5 Name of the entity with which the Investigator has a Significant Financial Interest;
 - 8.8.3.3.6 Reason(s) for the retrospective review;
 - 8.8.3.3.7 Detailed methodology used for the retrospective review (e.g. methodology of the review process, composition of the review panel, documents reviewed);
 - 8.8.3.3.8 Findings of the review;
 - 8.8.3.3.9 Conclusions of the review.

- 8.8.4 Based on the results of the retrospective review, if appropriate, the University shall update the previously submitted Significant Financial Interest report, specifying the actions that will be taken to manage the Significant Financial Interest going forward.
- 8.8.5 If the retrospective review finds bias, the University is required to notify the PHS awarding component promptly and submit a mitigation report to the PHS awarding component. The mitigation report must include, at a minimum, the key elements documented in the retrospective review above and a description of the impact of the bias on the research project and the University's plan of action or actions taken to eliminate or mitigate the effect of the bias (e.g., impact on the research project; extent of harm done, including any qualitative and quantitative data to support any actual or future harm; analysis of whether the research project is salvageable).
- 8.8.6 Thereafter, the University will submit to the PHS awarding component Significant Financial Interest reports annually, as specified elsewhere in this subpart. Depending on the nature of the FCOI, the University may determine that additional interim measures are necessary with regard to the Investigator's participation in the PHS-funded Project between the date that the Investigator's noncompliance is determined and the completion of the University's retrospective review.
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WRITING ACROSS THE CURRICULUM COMMITTEE REPORT
Revised Writing-Intensive Course Proposal Form

What Is “Writing Intensive” at ECU?

Courses that have been designated “writing intensive” are those which go beyond merely *assigning* a writing project or series of writing projects to test students’ knowledge of course content. Rather, a WI course provides students with opportunities to learn how to write in the genres, styles, and voices appropriate to the discipline of the course.

While any number of courses in a degree program/major/minor may require students to write in various ways – e.g., short, writing-to-learn activities; formal or informal reading responses; annotated bibliographies; essay exams – the WAC Committee reserves the title “Writing Intensive” for those courses which clearly demonstrate that students are working toward the following university Writing Outcomes:

Students will

1. Use writing to investigate complex, relevant topics and address significant questions through engagement with and effective use of credible sources;
2. Produce writing that reflects an awareness of context, purpose, and audience;
3. Demonstrate that they understand writing as a process that can be made more effective through drafting and revision;
4. Proofread and edit their own writing, avoiding grammatical and mechanical errors;
5. Assess and explain the major choices that they make in their writing.

In order for a course to be considered “Writing Intensive,” faculty must demonstrate that the course engages students in all of these writing outcomes.

Research on learning transfer makes the compelling case that reflective-analytical/metacognitive activities increase the likelihood that students will be able to transfer knowledge and skills from one activity, project, or course to another. As such, the WAC Committee expects all WI courses to provide space for students to analyze/reflect on the choices they make as writers. The University Writing Program provides several examples of reflective writing assignments that faculty can use/adapt in their courses [INSERT WEBSITE]. The UWP staff are also happy to meet and provide feedback on your ideas as you prepare your WI course proposal.

The WI course designation further requires that, at or near the end of the term, students submit samples of their writing to their University Writing Portfolios (housed in iWebfolio) for WAC program assessment purposes. Ideas for implementing this requirement, as well as instructions for uploading materials to iwebfolio will be provided on the writing@ecu website (www.ecu.edu/writing). UWP staff will gladly meet with you to discuss strategies for incorporating this assessment component into your course.

Preparing Your WI Course Proposal

As you work on your course proposal for WI consideration, keep in mind that the members of the WAC Committee represent very different disciplines from across campus, and as such the committee holds no singular assumption about the “right” way to design a WI course. The committee is interested in seeing how your course, as you articulate it below, provides students a scaffold for reaching ECU’s Writing Outcomes. As there is no one way for course projects/activities to meet these

outcomes, it is likely that faculty will use a variety of writing activities in order to achieve the goals of a WI course. Your proposal should enable committee members outside your discipline to understand the types/genres of writing you plan to assign and how those types/genres are intended to help students reach the university Writing Outcomes. Additionally, your proposal should make clear how you plan to integrate the requirement that students submit writing samples for program assessment. On its website (www.ecu.edu/writing), the University Writing Program provides several examples of course proposals for you to use as you create your proposal. UWP staff are available to meet with you and provide feedback as you prepare your WI course proposal.

What Documents Should I Send the WAC Committee for Review?

1) Letter of Support

Because WI courses require faculty to provide significant feedback on student work-in-progress, the WAC Committee has established a course cap of 25 students per section for WI courses. Therefore, in addition to the completed form that makes up the rest of this document, faculty proposing a course should include a letter of support from the unit administrator indicating that the unit understands the WI course cap and has the resources to meet that requirement.

2) Sample Course Syllabus

A sample syllabus should be included with the proposal. The sample syllabus, as well as future syllabi for the course should the WI designation be approved, must include the following WI statement:

Writing Intensive (WI)

_____ is a writing intensive course in the Writing Across the Curriculum Program at East Carolina University. This course will focus on the development of writing skills. Upon completion of the course students will:

1. Use writing to investigate complex, relevant topics and address significant questions through engagement with and effective use of credible sources.
2. Produce writing that reflects an awareness of context, purpose, and audience, particularly within the written genres (Including genres that integrate writing with visuals, audio or other multimodal components) of their major disciplines and/or career fields.
3. Demonstrate that they understand writing as a process that can be made more effective through drafting and revision.
4. Proofread and edit their own writing, avoiding grammatical and mechanical errors.
5. Assess and explain the major choices that they make in their writing.

This course contributes to the twelve-hour WI requirement for students at ECU. Additional information is available at the following site: <http://www.ecu.edu/writing/wac/>.

What Happens at the WAC Committee Discussion of My Course Proposal?

Once your proposal has been distributed to the WAC Committee, you will receive a notice that your packet has been assigned a time on the agenda of a future meeting of the WAC Committee. When possible, faculty are encouraged to attend this meeting to discuss the proposal with the committee. The committee uses that time to better understand what writing looks like in the discipline that is proposing the course and how this course helps students to be more effective writers in that discipline. The committee may ask for revisions to the course proposal based on that conversation. Typically, the committee votes either to a) accept the proposal as is, b) to accept the proposal pending minor revisions that can be submitted to the chair of the committee and do not require full

committee review a second time, or c) to return the proposal to the department for significant revision. Courses that require significant revision will come back to the WAC Committee at the next meeting for reconsideration.

How Are WI Courses Assessed?

Grading student work is always the responsibility of the course instructor. Neither the WAC Committee nor the University Writing Program has any interest in second-guessing or questioning the way that faculty evaluate the work of their students.

However, in order to ensure quality of the WAC program at ECU, the WAC Committee, in conjunction with the University Writing Program, has established several methods for assessing the effectiveness and the integrity of the program.

1. Each semester, faculty teaching WI courses are asked to send a copy of their syllabus (and a description of their writing assignments if those are not already detailed in the syllabus) to the University Writing Program. The UWP uses these documents to garner a yearly snapshot of how writing is being taught across campus and reports to the WAC Committee on its findings.
2. Each semester, faculty teaching WI courses instruct students to upload writing samples to their University Writing Portfolios. Each year, compensated, trained assessors use a rubric based on the university Writing Outcomes to score randomly selected university writing portfolio samples. The results of these direct assessments of student writing inform the development of instructional support for WI course faculty and supplemental writing support for students in WI courses.
3. Based on an established rotation, available on the UWP website, departments/programs are asked every five years to review their WI course offerings and to provide a packet of materials to the WAC Committee demonstrating (or in order to demonstrate) that WI course syllabi have consistently included the Writing Outcomes and that writing assignments and teaching practices have worked to help students meet those outcomes. Extensive directions on how to prepare those assessment packets are available on the UWP website.
4. Upon review by the WAC Committee, if courses have not been taught as "writing intensive" and have not sought to meet the ECU Writing Outcomes, the relevant department chair will be notified that the WAC Committee may vote to remove the WI designation from the course at a future meeting.

What about Writing Intensive by Section (WI*)?

In an effort to reduce the potential for confusion among students and advisors alike, the WAC Committee no longer approves courses as "Writing Intensive by Section." Faculty/departments that propose a WI course should make all faculty aware that all sections of the course, if approved, would be Writing Intensive.

Is There Anywhere I Can Go for Help with Creating the Writing Components of My Course?

Absolutely. The staff of University Writing Program welcomes faculty at any time and is happy to work individually with faculty on proposals or on effective methods for integrating writing into a course. They can also help departments think about what courses are best suited for WI designation.

University Writing Across the Curriculum Committee
Writing-Intensive Course Proposal

All existing WI courses must comply to the new Writing-Intensive Course Proposal format
and submit an audit addressing how they are going to comply.

Course Information

1. Course number: _____ Department: _____

2. Course name: _____

3. Faculty involved: _____ Email: _____

4. This course is for: Majors _____ Non-majors _____ Both _____

5. This proposal is for: An Existing Course _____ A New Course _____

6. How often is this course offered?

7. What is the average student enrollment across all sections?
(WI Courses are capped at 25 students per section.)

8. What types of documents (genres) will students write in this course (i.e., reports, memos, research papers, annotated bibliographies, etc.)? Include the expected or required word count for each assignment.

9. How are the writing assignments integrated into teaching & learning goals for the course?

10. How will you integrate the submission of writing samples for program assessment into the course?

**University Writing Across the Curriculum Committee
Writing-Intensive Course Proposal**

The following outcomes represent the ECU Writing Outcomes approved by the WAC Committee. Explain how the projects and activities in your proposed course help students to meet these outcomes.

SLO 1 How will students use writing to investigate complex, relevant topics and address significant questions through engagement with and effective use of credible sources?

SLO 2 How will students produce writing that reflects an awareness of context, purpose, and audience? If this is a WI course specific to majors, please explain how students will produce writing that reflects an awareness of context, purpose, and audience in written genres of their major disciplines and/or career fields.

SLO 3 How will students demonstrate that they understand writing as a process that can be made more effective through drafting and revision?

SLO 4 How will you help students proofread and edit their own writing, avoiding grammatical and mechanical errors?

SLO 5 How will students assess and explain the major choices that they make in their writing?