



Report of The Weekend College Committee

University's History/Programs For Nontraditional Students

Office of Admissions
106 Whichard

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The University's role in serving the needs of nontraditional students began in 1971 when the Division of Continuing Education established the Evening College (later renamed the University College). A full-time coordinator was appointed and charged with the responsibility of overseeing the evening program with his prime duties being promotion, recruitment of students, assisting students with enrollment procedures and coordinating the program with various deans and departmental chairs. The University College was a tuition/receipt driven unit which provided adults the opportunity to complete the general education requirements and an occasional "upper division" course during the evenings. However, students had to eventually transfer to the day program to complete a degree, or if their employment or circumstances did not provide this flexibility, they simply "dropped out." With the Fall Semester, 1984, several departments within The College of Arts and Sciences and the School of Industry and Technology agreed to schedule sufficient courses for a student to complete a degree while attending classes in the evenings. This change enhanced the opportunities available to adults in eastern North Carolina to complete a degree while employed full or part-time. The University also benefitted as students were now tallied in the headcount of the University which resulted in greater FTEs for funding purposes.

In 1987, The University Admissions Committee approved significant changes in the University's admission policies for nontraditional students by adopting a policy based upon performance and maturity as opposed to standardized test scores and/or class rank. This enabled the University College to enroll students in day as well as evening classes. This policy was consistent with directives from the University of North Carolina - General Administration which stated that "part-time adult learners requiring nontraditional educational programs should be viewed as the responsibility of all higher education institutions in the state. Institutional policies and procedures should be designed to facilitate, not inhibit, their processes." (Guidelines For Transfers: Recommendations of the Joint Committee on College Transfer students, University of North Carolina - General Administration, May, 1987).

The expansion of evening course offerings and degree programs, the opportunity to enroll in day classes, the addition of the availability of a minor in business to evening students, and a realistic admission policy resulted in a significant growth in enrollment, both headcount and FTEs, of adult students in the University College. In addition, several campus support units began to provide extended hours to accommodate adults with payment of fees, purchase

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of textbooks and supplies, registration of vehicles and securing photos for IDs. The University College provided evening hours for registration as well as telephone (call-in) registration for part-time students.

As the University College began to grow, a movement to more fully integrate this office into the mainstream of the University was initiated. In the Fall Semester, 1991, the Vice Chancellor for Academic Affairs reassigned the recruitment and admissions function of this unit to the Office of Undergraduate Admissions, while the advising and counseling functions were assigned to Undergraduate Studies.

While the assimilation of the University College into the mainstream of the University has benefitted the University as a whole, a negative impact has been that no single agency now advocates for adults nor coordinates activities and programs for this group. Also, the number of degree programs available to adults in the evenings has also declined. The reduction of degree programs is due to a number of Schools/Departments withdrawing their initial commitment as well as a lack of interest by students due to the nature and time of the degrees.

The reduction in services and opportunities to this group has occurred while its segment of the population has increased. It is noteworthy that the traditional college age market has experienced a decline over the same period. This is now an opportune time for East Carolina University to restructure traditional services and programs to accommodate the employment, family and commuting obligations of the adult student.

Current Assessment of University's Enrollment Patterns

The reality of the decline of traditional age students (18-22 year olds) is reflected in the attached charts (Attachments 1 and 2). For several years, the University was able to offset this decline in freshman applicants by developing a strong transfer applicant pool. However, this decline has now reached, as expected, the transfer pool. After many years of strong and steady growth, both in numbers and quality, the headcount and FTEs of the University have begun to experience a modest decline (Attachment 3). Demographics indicate that this decline will remain fairly constant during the 1990's with only a slow upward trend toward the close of the century.

Simply put, if the University is to reverse this trend and prevent further cutbacks in funding and positions, among other things, a new pool of applicants must be developed. As a number of institutions have done most successfully, the nontraditional student pool must be pursued.

The term "nontraditional student" conjures up different images in the minds of people. Age is certainly a prime consideration in this image and the University adopted an admissions policy in 1987 that resulted in specified retention requirements for students whose high school class graduated three or more years prior to their entry at East Carolina. But age alone is not sufficient in defining a group where circumstances preclude them from participating in educational opportunities available at the University. More appropriately, age, flexibility and time are key considerations in reaching a definition of the term nontraditional students.

Flexibility refers to the scheduling of classes and the availability of degree programs at times that are conducive for this group to participate. While the scheduling of classes in the evenings and the offering of a limited number of degree options in the evenings has partially addressed this concern, it has not fully served the needs of this group. Constraints on time, such as commuting distances, job responsibilities and family obligations often preclude such students from pursuing higher education.

A number of institutions, both nationally and locally, have addressed this concern by the establishment of a weekend college. Within a hour's commute of the campus of East Carolina University, nearly a thousand individuals are participating in classes and degree programs offered in a weekend college format. As the recognized leader of higher education in the east, it is only logical that such a program should be given serious consideration at East Carolina.

A weekend college at East Carolina would (1) provide an opportunity to develop a market pool that is currently fairly large, the 24-45 age group (See Attachment 4) and one that is currently underutilized, the nontraditional student; (2) provide the University a means to reverse the current enrollment decline precipitated by the decline of its traditional markets; (3) provide individuals, who because of family responsibilities, job obligations and commuting distances are unable to participate in programs traditionally available at the University, the opportunity to do so and; (4) provide additional avenues of service to citizens and taxpayers of a region that is traditionally below the state and national educational levels.

Weekend College Programs

The design of a weekend college should assume that not all degree programs or a variety of supporting courses could or would be available. It could reasonably be assumed that students entering the program would have prior college credits. Thus, a number of general education requirements would not be scheduled and only a minimum amount of elective credit would be scheduled.

Degree programs available would be:

BS in Business Administration (concentration in Human Resource Management)

BS in Industrial Technology (Manufacturing Concentration)

BS in Hospitality Management

BA in Psychology

Degree programs for the weekend college were selected on the basis of (1) anticipated interest by students, (2) the complementary nature of the degree requirements and (3) the willingness of the appropriate department or school to participate in a weekend college format. The complementary nature is evidenced by the fact that 68 semester hours of the 120 semester hours required by the BS in Business Administration are also required by the BS in Industrial Technology. The BS in Hospitality Management requires a minor in Business, while a suitable minor for Psychology would be Business. Due to these factors, a minimum number of courses would have to be offered to satisfy a variety of degree requirements. (See Attachments 5 and 6)

Classes could also be made available to enable individuals to secure certification in teacher education. Thus, the basic components of an alternate or irregular certification program could be developed to assist the over 200 potential certification students identified by TEACHEAST. The former director of this program recommended that the "University provide classes at convenient times and locations" to assist this pool of students. Since these students are usually employed full-time or reside some distance from campus, a weekend college would greatly assist in this project.

Other departments and schools would be encouraged to participate in the weekend college in response to student request/interest and in light of interests, resources and commitments by the department or school. For example, the School of Social Work has expressed an interest in offering entry level courses in Social Work and Criminal Justice in an effort to facilitate the entry of transfer students into their degree program.

Academic Calendar For Weekend College

The Weekend College would follow the calendar established by the University with the exception of the summer sessions (See Attachment 7). During the summer, the weekend college would have one summer session of ten weeks in order to comply with the necessary contact hours for course credit. During the regular semester, classes would be scheduled on Friday nights, Saturday mornings, Saturday mid-mornings and Saturday afternoons. Unlike many weekend colleges throughout the nation, no Sunday classes are currently being considered. While it is anticipated that most students will enroll for six semester hours of credit per semester, the proposed schedule would permit students to enroll for three to twelve hours of credit. Courses requiring laboratory work would have the lecture scheduled on Saturday mornings, with the supporting lab scheduled for Saturday afternoons. By following the proposed schedule, weekend classes would have the same contact hours as classes scheduled in the traditional weekday format.

Staffing/Funding Considerations

The course requirements, by semester and year, to support the weekend college for a five year period reflect a gradual increase of sections during the initial three years and a "leveling off" of sections during the fourth and fifth years. The "leveling off" process will occur due to the completion of degrees by some participants, attrition and the maturing of the program.

A breakdown of cost analysis (See Attachment 8) indicates that approximately 324 students averaging six semester hours would be sufficient to support the projected weekend college. Once enrollment exceeds 324 students, averaging six semester hours of credit, the Weekend College would then generate additional FTEs above operating costs resulting in increased benefits to the University. Until that level is reached, consideration should be given to increasing resources to participating units to assist them in the transition process. In comparison with an existing and successful weekend program in this area, this is a very realistic figure, as Barton College is enrolling approximately 500 students, averaging 5.9 semester hours per term. It is realistic to anticipate that East Carolina with its excellent academic reputation, name visibility and lower tuition costs would equal or exceed these figures. Thus, it can be projected that a weekend college at East Carolina would quickly become cost effective by generating FTEs that would translate into increased funding and ultimately positions to support its existence.

Staffing for the weekend college could be derived from several sources. One, of course, would be the shifting of the scheduling of a section of a class from the traditional weekday schedule to a weekend section. Several departments within the College of Arts and Sciences have responded favorably to the

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feasibility of this approach. Another approach would be to slightly increase the student size in existing sections, thus creating an additional section which could be scheduled on the weekend. For example, if currently five sections of Course 0000, with a capacity of thirty students per sections are scheduled, by raising the capacity to 35 students per section, a weekend section could be scheduled with a minimal reduction of seats during the week. Another means of securing classes for a weekend program would be the reallocation of resources resulting in the addition of faculty in departments and schools with high course demand. Finally, the weekend college should result in increased FTEs for the University resulting in additional positions to staff the program.

ORGANIZATIONAL STRUCTURE

To facilitate the development, growth and maintenance of a weekend college, a central unit should be created to coordinate, market and advocate for the students and the program. The group of students who will participate in the weekend college, as indicated earlier, will be different from their traditional counterparts and the University will need to be prepared to address their needs and aspirations. This group will largely be adults who began their pursuit of a degree, but never completed a bachelor's degree, or adults who already have a degree but need additional undergraduate credits to pursue new interests, and especially, those who are preparing for re-entry into the job market, a job/career change, or to meet the changing demands of the job market.

Adults are often "intimidated" by the size and complexity of a university campus and are reluctant to place themselves in what they perceive as a potentially embarrassing situation, i.e., having to ask directions, where to park, being in the wrong place or being out of place. Nontraditional students seek to identify with one central place or location and thus compensate for their lack of confidence and their anxiety.

As consideration is given to the creation of such a unit, it should also be recognized that currently a number of evening students, both graduate and undergraduate, are already part of the University clientele, and their interests, needs and situation could easily be merged with those who would participate in a weekend college format. An Office of Weekend and Evening College Programs should be established to serve this group. To minimize operating costs and to be good stewards of resources, the University College, currently located in Undergraduate Studies, should be restructured for this purpose. To give this office the visibility and status necessary for such a task, it should be an independent unit reporting to the Associate Vice Chancellor For Academic Affairs (See Attachment 9) and part of the enrollment management concept.

The University College restructured and renamed would be the logical unit since it has a tradition as well as an established association of working with

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nontraditional students, and, very important, it has two funded positions, and a small operating budget. With the nucleus of the staff already in place, it would require less "start up funds" and with the addition of one other position, it would be adequate to administer the initial development and expansion of a weekend college, as well as serve the nontraditional evening student currently enrolled with the University. A recommendation for the titling of the positions would be a Director of Weekend and Evening Programs, and an Associate Director/Counselor and a clerical support person.

If possible, every consideration should be given to locating this office in close proximity to the Office of Admissions, the Registrar and Financial Aid. This would permit close coordination of efforts and provide services to the nontraditional student in a centralized and convenient location.

Duties of the office would include: promotion of weekend and evening programs; recruitment of students to include initial counseling and advisement; assistance with registration of both evening and weekend students by providing opportunities for counseling and registration during the evenings and weekends; responsibilities for monitoring progress of general and undeclared students toward meeting retention requirements and declaration of a major; serving as a liaison between students, and departments and schools, when appropriate and necessary; coordinating with the appropriate chairs and deans the scheduling of classes in the evening and on weekends in an orderly manner; working with the various support units and functions to insure that necessary and required services to this group are available at proper and accessible times during the semester; and overall, serving as an advocate for the nontraditional student.

Conclusions/Recommendations

The Weekend College will provide both a challenge as well as a unique opportunity for East Carolina University to further define, yet expand its commitment of service and leadership to the region. With a lengthy and commendable record of service and leadership, the University now has the opportunity of embarking on a new era of expanding its resources to a group largely underserved in the past - the nontraditional student. While this group and the region will benefit from this opportunity, it will also afford the University the means to effectively address the issues associated with the stable or slightly declining enrollment patterns it is now experiencing.

After careful thought and much deliberation, it is the belief of the Weekend College Committee that the University can both efficiently and effectively serve the needs of the nontraditional student and fulfill the mission of the University by meeting these challenges and taking advantage of the

opportunities afforded in such an endeavor. This can be accomplished by developing programs and services for nontraditional students that will become locally and nationally recognized. With this premise in mind, the Weekend College Committee recommends:

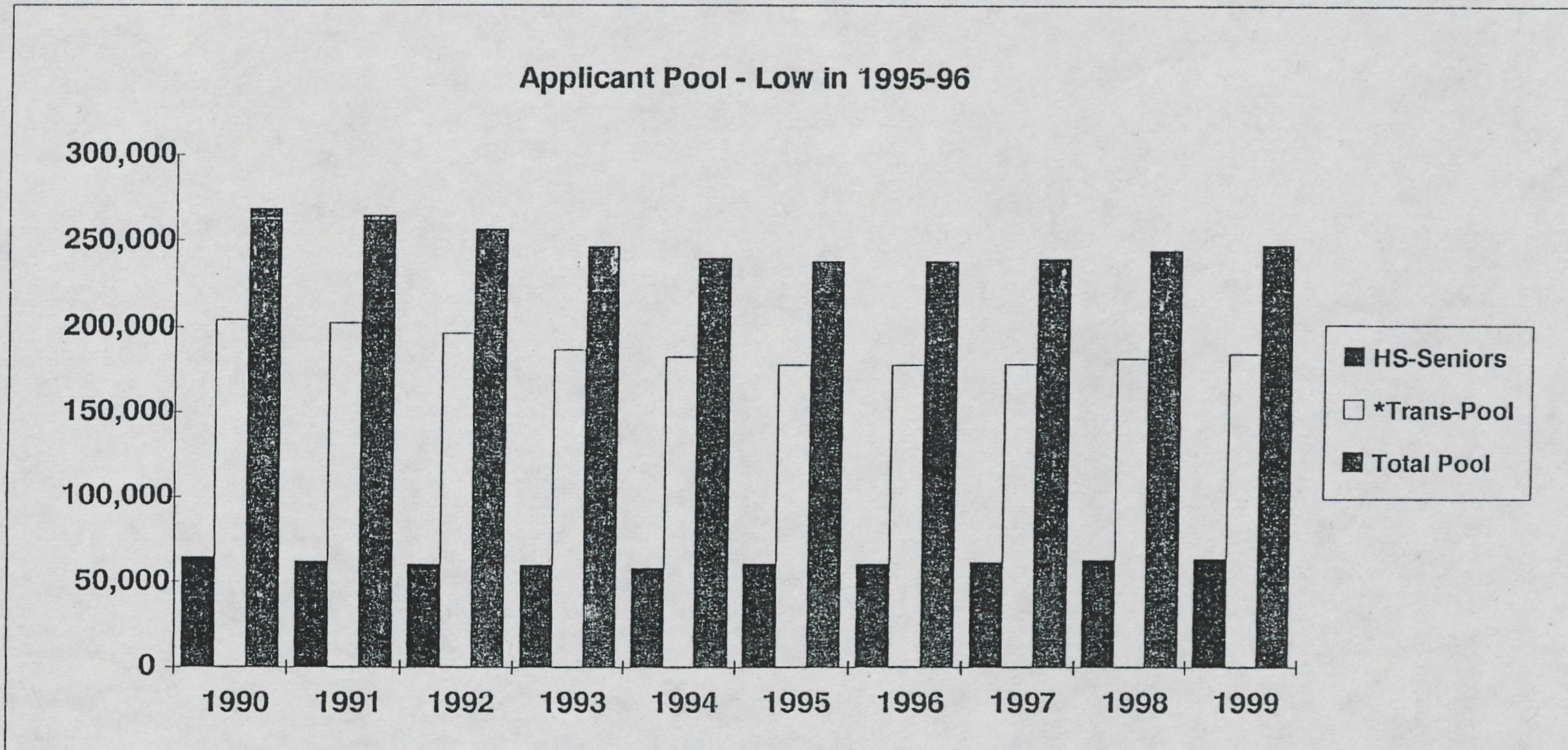
1. That effective Fall Semester, 1996, East Carolina University initiate a Weekend College.
2. That the University College be restructured into the Office of Weekend And Evening programs effective July 1995, to allow ample time for development, marketing and scheduling of the programs. This office, reporting to the Associate Vice Chancellor For Academic Affairs, would also coordinate services and programs for evening students.
3. That the University, as appropriate and available, designate and reallocate resources for the support of the Weekend College.
4. That the BA in Psychology, BS in Business Administration (Management Concentration), BS in Industrial Technology, (Manufacturing Concentration), and a BS in Hospitality Management be the initial nucleus of degree programs in the Weekend College.
5. That, as required by the projected schedule of classes, a five year commitment be made by the University to this endeavor.
6. That the College of Arts and Sciences participate in the Weekend College by providing general college and cognate courses as noted in the five year schedule.
7. That the Weekend College Committee be designated as the steering committee for the development and implementation of this project.
8. That the Weekend College Committee be authorized to pursue the possibility of appropriate graduate degrees being added to the Weekend College.

ATTACHMENTS

Composition of Applicant Pool 1990-1999

	HS-Seniors	*Trans-Pool	Total Pool
1990	64,521	203,902	268,423
1991	62,005	202,275	264,280
1992	60,147	196,235	256,382
1993	60,049	186,673	246,722
1994	57,669	182,201	239,870
1995	60,210	177,865	238,075
1996	60,091	177,928	238,019
1997	61,375	177,970	239,345
1998	62,777	181,676	244,453
1999	63,277	184,243	247,520

* Trans-Pool: Sum of previous 3 years of High School Seniors



Attachment #2

Profile of High School Graduates
in Home and Adjacent Counties
(Source: Regional Development Institute)

	<u>1980</u>	<u>1990</u>	<u>1991</u>	<u>1992</u>
Beaufort	607	489	462	493
Craven	813	740	718	748
Edgecombe	544	472	424	471
Greene	211	155	150	150
Lenoir	793	614	674	649
Martin	321	318	351	326
Pitt	1040	883	925	982
Wilson	<u>783</u>	<u>674</u>	<u>675</u>	<u>620</u>
	5112	4345	4379	4439

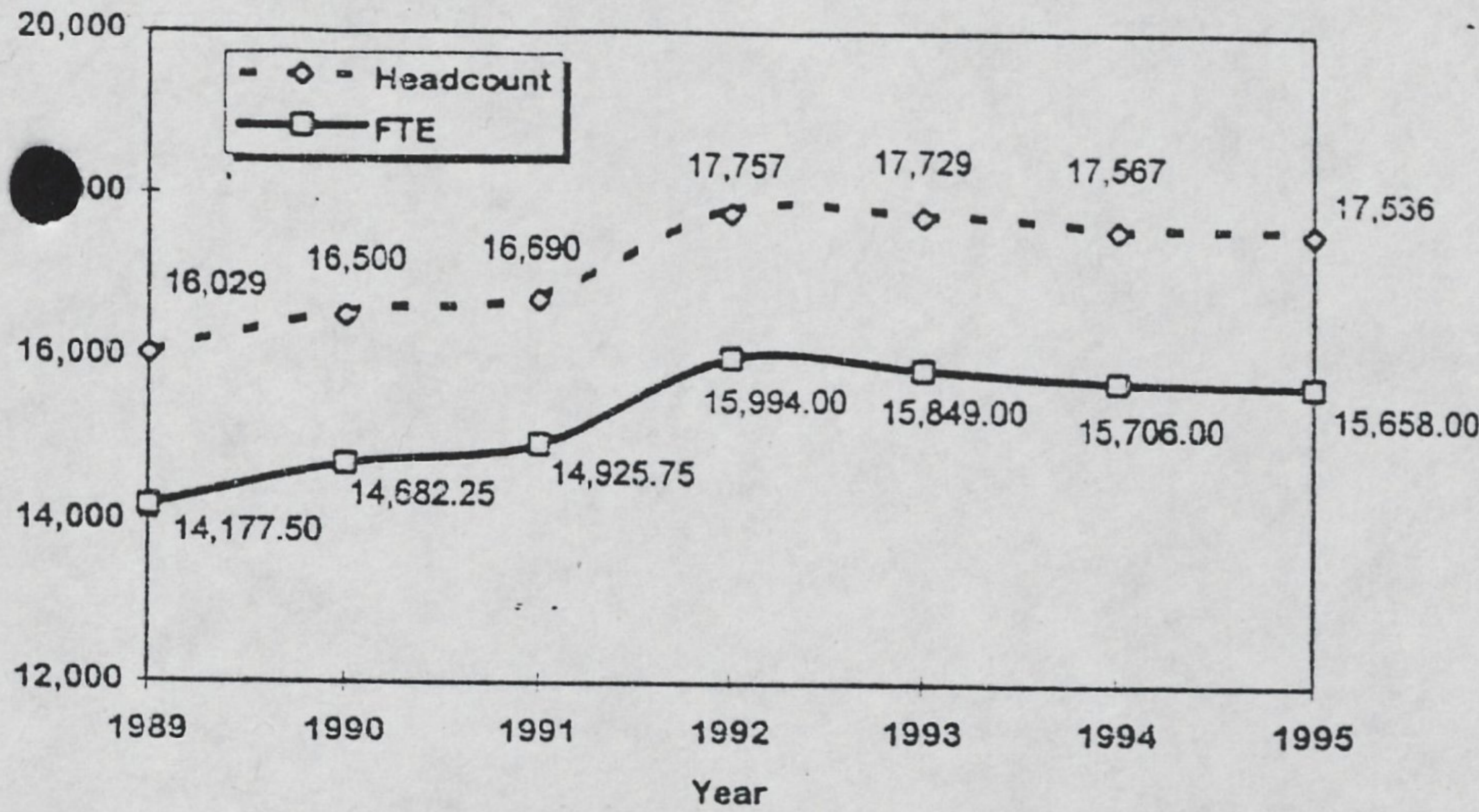
**Profile of High School Graduates
in Home and Adjacent Counties
reflecting Number and (%) who
Completed UNC Minimum Admission
Requirements (Source: Regional
Development Institute)**

	<u>1990</u>	<u>1991</u>	<u>1992</u>
Beaufort	196 (40)	166 (35)	202 (41)
Craven	341 (42)	355 (48)	344 (46)
Edgecombe	212 (37)	170 (37)	212 (37)
Lenoir	233 (38)	276 (41)	331 (51)
Martin	154 (48)	186 (53)	172 (53)
Pitt	397 (45)	481 (52)	530 (54)
Wilson	270 (40)	243 (36)	198 (32)

Observations

1. The high school applicant pool experienced a decline beginning with the 1990's. This decline is heightened by the application of the Minimum Admissions Requirements to high school graduates who completed high school after 1990. This further reduces the applicant pool as the University cannot consider for admission any applicant who has not satisfied these requirements.
2. The high school pool is expected to remain constant during the 1990's with a slight up swing beginning at the turn of the century.
3. Likewise, the declining or constant high school pool will result in transfer applications remaining constant during this period.

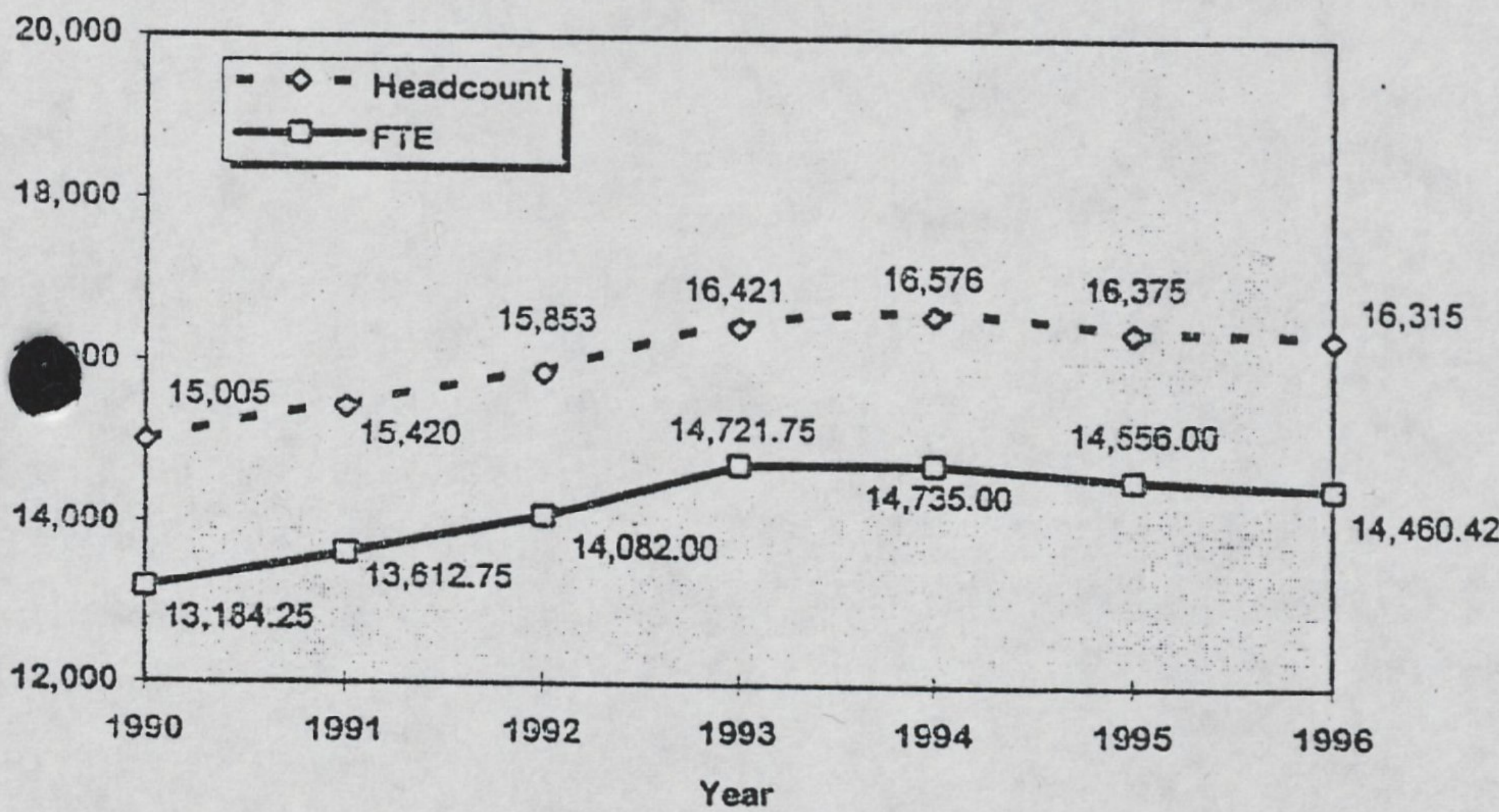
EAST CAROLINA UNIVERSITY
Headcount and FTE, FALL 1989-1995*



FALL		
Year	Headcount	FTE
1989	16,029	14,177.50
1990	16,500	14,682.25
1991	16,690	14,925.75
1992	17,757	15,994.00
1993	17,729	15,849.00
1994	17,567	15,706.00
1995	17,536	15,658.00

*Fall 1995 figures are projections

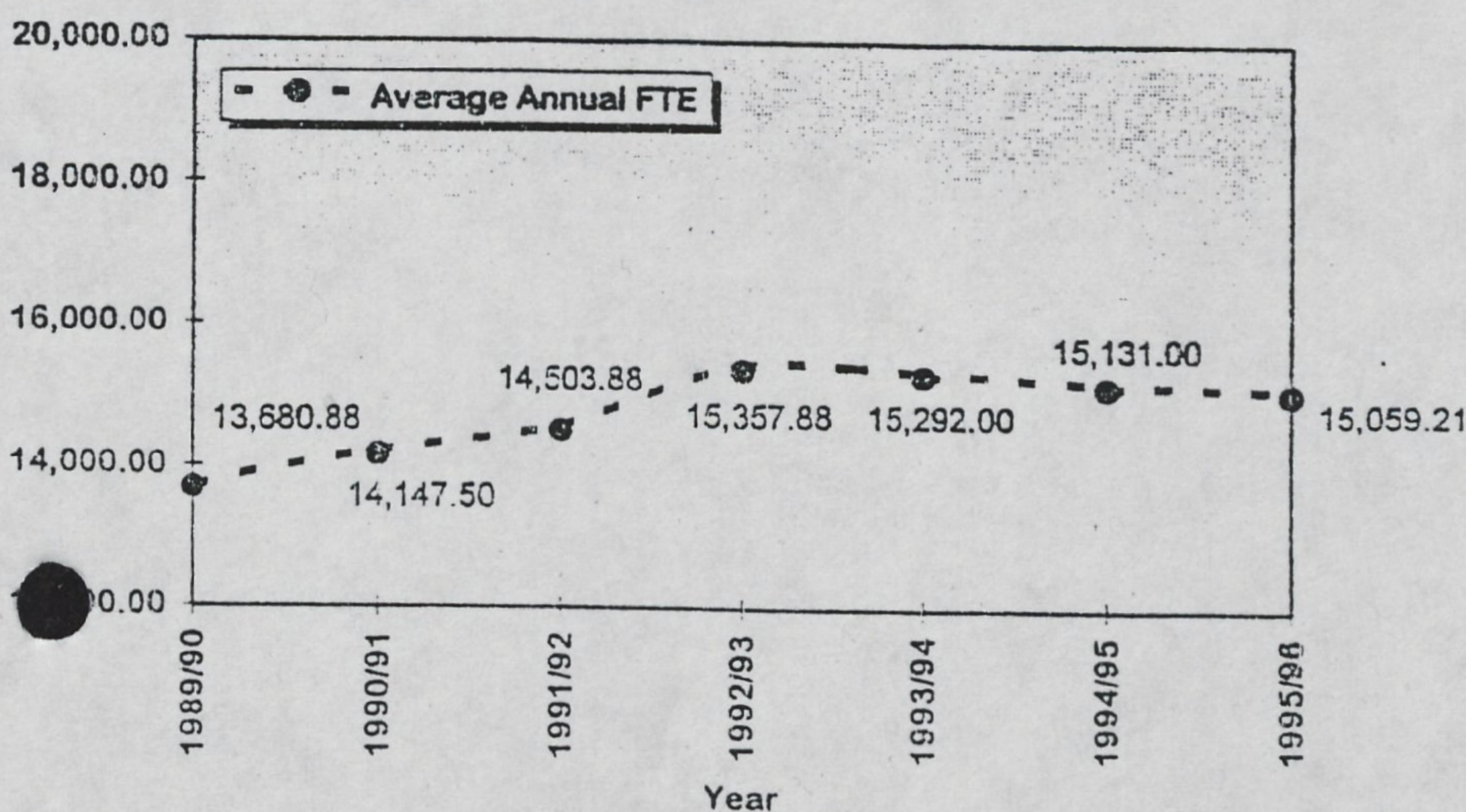
EAST CAROLINA UNIVERSITY
Headcount and FTE, SPRING 1990-1996*



SPRING		
Year	Headcount	FTE
1990	15,005	13,184.25
1991	15,420	13,612.75
1992	15,853	14,082.00
1993	16,421	14,721.75
1994	16,576	14,735.00
1995	16,375	14,556.00
1996	16,315	14,460.42

* Spring 1995 figures are estimates
* Spring 1996 figures are projections

EAST CAROLINA UNIVERSITY
Average Annual FTE, FY 1989/90-1995/96*



Average Annual FTE	
1989/90	13,680.88
1990/91	14,147.50
1991/92	14,503.88
1992/93	15,357.88
1993/94	15,292.00
1994/95	15,131.00
1995/96	15,059.21

* FY1994/95 based on Sp95 estimate
* FY 1995/96 based on Fa95 & Sp96 projections



Attachment #4

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**Profile of Adult Students by age, (25-44)
in Home and Adjacent Counties
(Source: Regional Development Institute)**

25 - 44

	<u>1980</u>	<u>1990</u>	<u>1992</u>
Beaufort	6025	6050	5743
Craven	12004	14555	14154
Edgecombe	8950	9180	8653
Greene	2519	2702	2493
Lenior	9239	8707	8188
Martin	3878	3657	3429
Pitt	15033	18777	18706
Wilson	<u>9978</u>	<u>9539</u>	<u>9829</u>
	67626	73167	71195



Summary of Course Requirements By Department of School
Fall 1996 - Summer 2001

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	Fall 1996	Spring 1997	Sum 1997
Arts/Sci	10	6	3
Business	2	1	1
HESC	2	2	2
ITEC	1	2	2
Psychology	<u>2</u>	<u>1</u>	<u>1</u>
	17	12	9

	Fall 1997	Spring 1998	Sum 1998
Arts/Sci	14	10	4
Business	3	4	2
HESC	3	3	1
ITEC	3	5	2
Psychology	<u>4</u>	<u>2</u>	<u>1</u>
	27	24	10

	Fall 1998	Spring 1999	Sum 1999
Arts/Sci	12	10	5
Business	4	4	3
HESC	4	3	3
ITEC	3	4	2
Psychology	<u>4</u>	<u>4</u>	<u>1</u>
	27	25	14



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	Fall 1999	Spring 2000	Sum 2000
Arts/Sci	12	10	6
Business	4	6	2
HESC	5	6	4
ITEC	4	5	3
Psychology	<u>4</u>	<u>3</u>	<u>1</u>
	29	30	16

	Fall 2000	Spring 2001	Sum 2001
Arts/Sci	13	10	4
Business	5	6	2
HESC	5	4	4
ITEC	5	5	3
Psychology	<u>3</u>	<u>3</u>	<u>1</u>
	31	28	14

WEEKEND COLLEGE - 5 YEAR PLAN							DEGREE-ARTS & SCIENCES								
COURSE	FA 96	SP97	SU 97	FA 97	SP 98	SU 98	FA 98	SP 99	SU 99	FA 99	SP2000	SU2000	FA2000	SP2001	SU2001
Biol 1060		X			X			X			X			X	
Chem 1020	X			X			X			X			X		
Econ 2113	X			X			X			X			X		
Econ 2133		X			X			X			X			X	
Engl 1200	X			X			X			X			X		
Engl 2000, 2100, 2200					X				X		X		X		
Engl 3880	X			X			X			X			X		
Math 0045	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Math 1066	X	X		X	X		X	X		X	X		X	X	
Math 1074				X			X			X			X		
Math 2283				X		X	X		X	X		X	X		X
Phil 2274, or 2275	X			X			X			X			X		
Phys 1250				X			X			X			X		
Phys 1251				X			X			X			X		
Phys 1260					X			X			X			X	
Phys 1261					X			X			X			X	
Soci 2110			X			X						X			
Spch 2520	X		X	X		X	X		X	X		X	X		X
Span 1001	X			X			X			X			X		
Span 1002		X			X			X			X			X	
Span 1003				X			X			X			X		
Span 1004					X			X			X			X	
Thea 1000		X			X				X			X			X

WEEKEND COLLEGE - 5 YEAR PLAN							DEGREE-BUSINESS (MGMT)								
COURSE	FA 96	SP97	SU 97	FA 97	SP 98	SU 98	FA 98	SP 99	SU 99	FA 99	SP2000	SU2000	FA2000	SP2001	SU2001
Acct 2401		P			P			P			P			P	
Acct 2521				P			P			P			P		
Dsci 2223	E		E		E			E				E			E
Dsci 3023					P				P						
Dsci 3063											P			P	
Dsci 3123									P		P				
Dsci 3243										P					P
Fina 2274	E			E		E	E		E		E			E	
Fina 3724					P						P			P	
Mgmt 3202				P			P				P		P		
Mktg 3832							P			P			P		
Mgmt 3352								P						P	
Mgmt 4842												P			
Concentration in Human Resource Mgmt															
Mgmt 4242 or Psyc 3241*			P		P			P			P			P	
Mgmt 4402						P							P		
Mgmt 4422								P					P		
Select 2															
Mgmt 4472, 4482										P					
4492, 4952														P	

E=Entry Level P=Prerequisite Level

* Schedule reflects Psyc 3241

WEEKEND COLLEGE - 5 YEAR PLAN							DEGREE-HOSP MGMT								
COURSE	FA 96	SP97	SU 97	FA 97	SP 98	SU 98	FA 98	SP 99	SU 99	FA 99	SP2000	SU2000	FA2000	SP2001	SU2001
Nuhm 1000	E			E			E			E			E		
Nuhm 1010		E			E			E			E			E	
Nuhm 2110, 2111			E			E			E			E			E
Nuhm 2350	E			E			E			E			E		
Nuhm 3100		P			P			P			P			P	
Nuhm 3110				P						P			P		
Nuhm 3393					P						P			P	
Nuhm 3600							P						P		
Nuhm 4110, 4111								P			P				
Nuhm 4208									P			P			
Nuhm 4308										P			P		
Nuhm 4440							P								P
Nuhm 4450											P			P	
Nuhm 4990, 4991												P			P
Amid or Cdfr			E						E			E			E
Hesc										P					
Hesc											P				

E=Entry Level P= Prerequisite Level

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WEEKEND COLLEGE - 5 YEAR PLAN

DEGREE-INDUSTRY & TECHNOLOGY

COURSE	FA 96	SP97	SU 97	FA 97	SP 98	SU 98	FA 98	SP 99	SU 99	FA 99	SP2000	SU2000	FA2000	SP2001	SU2001
Itec 2010	E			E			E			E			E		
Itec 2020		E			E			E			E			E	
Itec 2090				E				E				E			E
Itec 3290					P			P			P			P	
Itec 3292							P			P			P		
Itec 4300											P			P	
Desn 2034, 2035		E			E			E			E			E	
Elec 2054, 2055			P		P					P			P		
Manf 2076, 2077				P						P					
Manf 3020					P						P				
Manf 3300						P						P			
Manf 3500							P						P		
Manf 4020, 4021														P	
Manf 4023															P
Manf 4200									P				P		
Itec Elective			E			E			E			E			E

E=Entry Level P=Prerequisite Level

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WEEKEND COLLEGE - 5 YEAR PLAN

DEGREE-PSYCHOLOGY

COURSE	FA 96	SP97	SU 97	FA 97	SP 98	SU 98	FA 98	SP 99	SU 99	FA 99	SP2000	SU2000	FA2000	SP2001	SU2001
Psyc 1000	E			E			E			E			E		
Psyc 2101 *				P			P			P			P		
Psyc 2210					P			P			P			P	
Psyc 3225 or 3226		P						P						P	
Psyc 3310 or 3311				P			P			P					
Select 2															
Psyc 3206	P						P				P				P
Psyc 3221				P				P				P			
Psyc 3300															
Psyc 4375															
Psyc 5311															
Psyc 5325															
Select 1															
Psyc 4000										P			P		
Psyc 4100															
Psyc 4280															
Psyc 4440															
Electives															
Psyc (3241)**			P		P			P			P			P	
Psyc						P									
Psyc (5000)									P						

E=Entry Level P=Prerequisite Level

* Math Stats can be substituted.

** Psyc 3241 can be substituted for Mgr 1242.

WEEKEND COLLEGE CALENDAR

AY 1995-96

The 1995-96 calendar for the Weekend College is that of the University and is published on pages xiv through xvii of the 1994-96 Undergraduate Catalog and pages xi through xv of the 1994-96 Graduate Catalog. The weekends classes will meet, class times, and the exam schedule are as follows:

Fall 1995

WKED #1	August 25-26
Holiday	September 1-2
WKED #2	September 8-9
WKED #3	September 15-16
WKED #4	September 22-23
WKED #5	September 29 - 30
WKED #6	October 6-7
WKED #7	October 13-14
WKED #8	October 20-21
Fall Break	October 27-28
WKED #9	November 3-4
WKED #10	November 10-11
WKED #11	November 17-18
Holiday	November 24-25
WKED #12	December 1-2
WKED #13	December 8-9
WKED #14	December 15-16 (Exams)

Spring 1996

WKED #1	January 5-6
Holiday	January 12-13
WKED #2	January 19-20
WKED #3	January 26-27
WKED #4	February 2-3
WKED #5	February 9-10
WKED #6	February 16-17
WKED #7	February 23-24
WKED #8	March 1-2
Spring Break	March 8-9
WKED #9	March 15-16
WKED #10	March 22-23
WKED #11	March 29-30
Holiday	April 5-6
WKED #12	April 12-13
WKED #13	April 19-20
WKED #14	April 26-27 (Exams)

Summer 1996

WKED #1	May 17-18
WKED #2	May 24-25
WKED #3	May 31-June 1
WKED #4	June 7-8
WKED #5	June 14-15
WKED #6	June 21-22
WKED #7	June 28-29
Holiday	July 5-6
WKED #8	July 12-13
WKED #9	July 19-20
WKED #10	July 26-27 (Exams)

Fall and Spring Semester Class Meeting Times*

Friday	6:30 p.m. - 9:30 p.m.
Saturday	8:00 a.m. - 11:00 a.m.
Saturday	11:15 a.m. - 2:15 p.m.
Saturday	2:30 p.m. - 5:30 p.m.

* Class meeting time allows for a total of 15-20 minutes of break per class meeting.

Summer Session Class Meeting Times**

Friday	6:00 p.m. - 10:00 p.m.
Saturday Mornings	8:00 a.m. - 12:00 noon
Saturday Afternoons	1:00 p.m. - 5:00 p.m.

**Class meeting time allows for a total of 15 minutes of break per class meeting.

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WEEKEND COLLEGE CALENDAR

AY 1996-97

The 1996-97 calendar for the Weekend College is that of the University. The weekends classes will meet, class times, and the exam schedule are as follows:

Fall 1996

WKED #1	August 23-24
Holiday	August 30-31
WKED #2	September 6-7
WKED #3	September 13-14
WKED #4	September 20-21
WKED #5	September 27-28
WKED #6	October 4-5
Fall Break	October 11-12
WKED #7	October 18-19
WKED #8	October 25-26
WKED #9	November 1-2
WKED #10	November 8-9
WKED #11	November 15-16
WKED #12	November 22-23
Holiday	November 29-30
WKED #13	December 6-7
WKED #14	December 13-14 (Exams)

Spring 1997

WKED #1	January 10-11#
WKED #1 or Holiday	January 17-18#
WKED #2	January 24-25
WKED #3	Jan. 31 - Feb. 1
WKED #4	February 7-8
WKED #5	February 14-15
WKED #6	February 21-22
WKED #7	Feb. 28 - Mar. 1
WKED #8	March 7-8
Spring Break	March 14-15
WKED #9	March 21-22
Holiday	March 28-29
WKED #10	April 4-5
WKED #11	April 11-12
WKED #12	April 18-19
WKED #13	April 25-26
WKED #14	May 2-3 (Exams)

Summer 1997

(Summer 1997 calendar not yet available.)

Fall and Spring Semester Class Meeting Times*

Friday	6:30 p.m. - 9:30 p.m.
Saturday	8:00 a.m. - 11:00 a.m.
Saturday	11:15 a.m. - 2:15 p.m.
Saturday	2:30 p.m. - 5:30 p.m.

* Class meeting time allows for a total of 15-20 minutes of break per class meeting.

Summer Session Class Meeting Times**

Friday	6:00 p.m. - 10:00 p.m.
Saturday Mornings	8:00 a.m. - 12:00 noon
Saturday Afternoons	1:00 p.m. - 5:00 p.m.

**Class meeting time allows for a total of 15 minutes of break per class meeting.

Should classes begin on the weekend of January 10-11, the weekend of January 17-18 will be a holiday weekend. Since classes scheduled for weekdays do not begin until Monday, January 13, it may be necessary to begin weekend classes on the 10th so that the holiday weekend can be observed. Should classes be held on the weekend of January 17-18, classes on the 10th and 11th will not be necessary.

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WEEKEND COLLEGE BREAK-EVEN ANALYSIS

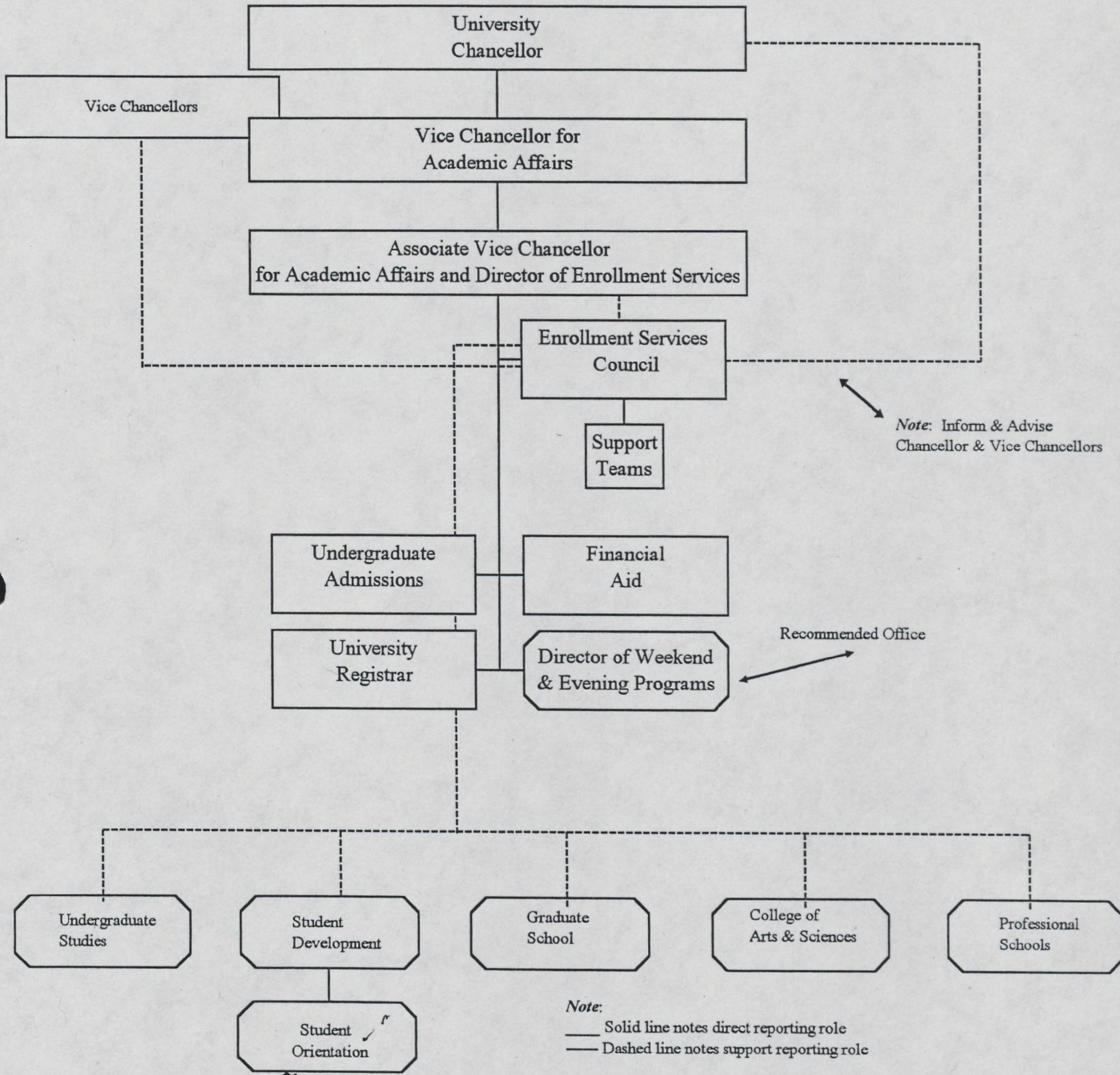
Given the summary of course requirements table, it is possible to conduct a break-even analysis for the Weekend College Program when it reaches a steady-state offering of 30 courses per semester. It is proposed that the average full-time equivalent faculty position teach 3 courses per semester requiring a total of 10 faculty positions. Currently, 16.2 FTE students each with 12 credit hour registrations are required per faculty position for 194.4 credit hours per faculty position. Assuming the Weekend College students average 6 credit hours each, approximately 324 $((194.4 \times 10)/6)$ students are required to support the projected Weekend College Program.

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FEB 29 1995

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RESEARCH/CREATIVE ACTIVITY POLICIES COMMITTEE REPORT

REVISION TO *FACULTY MANUAL*, APPENDIX I

Appendix I the "East Carolina University Policy on Conflicts of Interest and Commitment" was revised during the summer of 1995. The Policy was revised so that ECU Policy would conform with new NIH and NSF requirements on conflict of interest. An ad hoc committee prepared the revision. Acting Associate Vice Chancellor Lawler chaired the committee, and Alvin Volkman, Medical School Associate Dean for Research and Graduate Studies, and Drs. Alan Schreier, Brian McMillen, Charles Hodson, and Mumtaz Dinno served as committee members. The committee revised Appendix I so that it would conform with new requirements mandated by the Granting Agencies, National Science Foundation and the National Institute of Health. The UNC Board of Governors Policies on Conflict of Interest (COI) was not changed, and COI questions in revised Appendix I are basically the same. Templates prepared at UNC-Chapel Hill and NC State University that conformed to the federal mandate were provided by the UNC General Administration as a guide for revising Appendix I. The Federal regulations requiring Appendix I revision and guidance from UNC General Administration, UNC-Chapel Hill and NC State University are available in the Faculty Senate office for faculty who are interested in reviewing them.

Since Appendix I was revised over the summer, it has been reviewed by UNC General Administration, and President Spangler has asked that the definition of significant financial interest be changed to conform to the federal definition. The Research/Creative Policy Committee amended Appendix I so that President Spangler's concerns were met. **Please refer to Section VIII., subsection 4 (page I-7).**

SUMMARY OF CHANGES MADE OVER THE SUMMER AND REFLECTED THROUGHOUT THIS APPENDIX.

1. Reporting procedures for COI violations to NIH and NSF are included.*
2. Mechanism to resolve COI situations are included. *
3. A definition of significant financial interest is included. Interests below this amount only need to be reported.*
4. A mechanism is in place to verify COI disliveness are made before grant proposals are submitted. *
5. The institutional official reporting on COI violations to NIH & NSF is identified. *
6. The composition of the review committee for appeals in COI disputes is specified.
7. Examples of potential COI situations are now included to assist faculty in understanding these questions.

* Federal Requirement.

APPENDIX I
EAST CAROLINA UNIVERSITY POLICY ON CONFLICTS OF INTEREST AND COMMITMENT

CONTENTS

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

- Example Forms:
- A. Annual Faculty/Professional Staff Disclosure Form of Potential Conflict of Commitment or Interest Activities or Relationships.
 - B. Report of Activities and Relationships with Enterprises Sponsoring University Activities or Doing Business with the University.
 - C. Report of Potential Conflicts of Interest Related to Students' Activities with External Enterprises.
 - D. Report of Potential Conflicts of Interest Related to Teaching and Ownership of Intellectual Property.
 - E. Notice of Intent to Engage in External Professional Activities for Pay.

East Carolina University Policy on Conflicts of Interest and Commitment

I. Introduction

Effective July 1, 1995, all EPA faculty and other professional staff of East Carolina University are subject to revised policies concerning conflicts of interest and conflicts of commitment affecting University employment and external professional activities. This policy covers full-time faculty and EPA non-faculty employees, part-time faculty and EPA non-faculty employees insofar as their University responsibilities are concerned, and faculty and EPA non-faculty employees who are on leave if the leave is funded at least partially from University sources. The revised ECU policies are based on policies and guidelines adopted by the UNC system Board of Governors and federal agency requirements. Any questions regarding these procedures or the Board of Governors' policies upon which they are based should be directed to the appropriate divisional vice chancellor.

II. The Concepts at Issue

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

More specifically, conflict of Interest occurs when financial or other personal considerations potentially compromise the faculty or professional staff member's objectivity in fulfilling University duties or responsibilities, including research activities. Conflict of commitment occurs when the pursuit of outside activities involves an inordinate investment of time that potentially interferes with the faculty or professional staff member's obligations to students, to colleagues, and/or to the missions of the University.

The purpose of asserting policies concerning these concepts is to ensure that all activities are accurately disclosed and to reduce the probability of the occurrence of inappropriate activities. These policies are not being promulgated with the primary intention of limiting responsible external activities.

III. Policies

A. Conflict of Interest

It is the policy of the University that faculty and EPA non-faculty shall avoid conflicts of interest that have the potential to affect adversely the University's interests, to compromise objectivity in carrying out University responsibilities, or otherwise to compromise the performance of University responsibilities. Accordingly, outside activities and financial interests must be disclosed on an annual basis. Disclosures will be updated when new external interests develop. Outside activities and financial interests should be arranged to avoid such conflicts. Related policies are also discussed in the *ECU Faculty Manual*, Part VII, Research Information.

B. Conflict of Commitment

It is the policy of the University that faculty and EPA non-faculty employees shall devote their primary professional loyalty, time, and energy to their teaching, research, service, and, where applicable, patient care at the University. Accordingly, outside activities and financial interests must be arranged to avoid interference with the primacy of these commitments.

Policies and Procedures for those potential conflict of commitment situations that do not involve conflict of interest are discussed in the *ECU Faculty Manual*, Part VI, General Personnel Information. The policy on External Professional Activities of Faculty and Other Professional Staff should be used for these potential conflict of commitment situations.

IV. Categories and Examples of Potential Conflicts

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

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

Category II: consists of relationships that may be permissible following disclosure and, where necessary, the initiation of supervisory procedures designed to preclude unreasonable levels of bias or inappropriate activities and to ensure the maintenance of academic standards, intellectual values, and institutional integrity.

Category III: consists of relationships that presumptively may be inappropriate for a faculty member or EPA non faculty employee. In such cases, the individual must demonstrate to the University's satisfaction the compatibility of such practices with University policy prior to going forward with the proposed activity.

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

- Category I: Activities that are routinely allowable and are not required to be disclosed pursuant to this policy.
- a. Receiving royalties for published scholarly works and other writings or for inventions pursuant to the University's Patent and Copyright Policies (*Faculty Manual*, Part VII, Research Information).
 - b. Membership in and service to professional associations and learned societies; membership on professional review or advisory panels; presentation of lectures, papers, concerts or exhibits; participation in seminars and conferences; reviewing or editing scholarly publications and books; and service to accreditation bodies are permitted under the ECU Policy Statement on External Professional Activities of Faculty and other Professional Staff (*Faculty Manual*, Part VI, General Personnel Information) so long as they do not conflict or interfere with the timely performance of primary University duties. These activities are permitted even if they are performed for nominal honoraria or reimbursement of expenses, provided that the receipt of nominal honoraria or reimbursement of expense is not in conflict with any other applicable University, state, or federal policy, rule or regulation. These activities are not required to be disclosed in this Policy's Annual Faculty/Professional Staff Disclosure Form. However, an "Notice of Intent to Engage in External Professional Activity" may be required pursuant to ECU's policy (*Faculty Manual*, Part VI, General Personnel Information).
 - c. Ownership of or equity in a corporation used solely for the individual's consulting activities provided such consulting activities are appropriately reported and approved in accordance with *Faculty Manual*, Part VI, General Personnel Information, External Professional Activities of Faculty and Other Professional Staff.

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

1. Research Activities
 - a. Participating in University research (basic, applied, and clinical) on a technology developed by that individual or a member of his or her family, unless the activity is specifically disallowed under the guidelines of Category III.
 - b. Participating in University research involving a technology owned by or contractually obligated (by license, option or otherwise) to a business in which the individual or a member of his or her family has a consulting relationship.
 - c. Receiving through contract or gift University sponsored research support (whether in dollars or in kind) for research from a business in which the individual or a member of his or her family has a consulting relationship.
2. External Activities
 - a. Serving on the board of directors or scientific advisory board of a business from which that individual or a member of his or her family receives University-sponsored research support or with which the University has a substantial contractual relationship known to the individual, unless the activity is specifically disallowed under the guidelines of Category III.
 - b. Assuming an executive position in a *not-for-profit* business engaged in commercial or research activities in a field related to the individual's University responsibilities, unless the activity is specifically disallowed under the guidelines of Category III.
3. Ownership
 - a. Possessing a significant financial interest, including a significant consulting relationship, in a business that competes with the services provided by the University as a part of their academic, research, or service mission.
 - b. Possessing a significant financial interest, including a significant consulting relationship, in a business field related to the individual's University responsibilities, unless the activity is specifically disallowed under the guidelines of Category III.
 - c. Requiring or recommending one's own textbook or other teaching aids, materials, or equipment to be used in connection with University programs or those of a member of his or her family. Such a requirement or recommendation must be preceded by disclosure and review according to this policy.
4. Other
 - a. Acceptance by the University employee or a member of his or her family of other than nominal gratuities or special favors from one whom the individual knows is doing business with or proposing to do business with the University.
 - b. Engaging in any other activity that has the potential for creating a conflict of interest or commitment as defined herein.

Category III: Activities that are presumptively not allowable.

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

- b. Receiving, through contract or grant, University sponsored research support (whether in dollars or in kind) for research from a business in which the individual or a member of his or her family holds a significant stock or similar significant ownership interest or has any other significant financial interest.
 - c. Assigning students, postdoctoral fellows or other trainees to University projects sponsored by a for-profit or not-for-profit business in which the individual or a member of his or her family has a significant financial interest, including a significant consulting relationship.
2. External Activities
 - a. Assuming an executive position in a for-profit business engaged in commercial or research activities in an area related to the individual's University responsibilities.
 - b. Making referrals of University business to an external business or professional office in which such individual or a member of his or her family has a significant financial interest, including a significant consulting relationship.
 - c. Associating one's name or one's work with an external activity in such a way as to profit monetarily by trading on the reputation or good will of the University or to imply sponsorship or endorsement by the University. An example of a context in which such an association might occur is external professional activity for pay. Mere identification of the University as the employer of the individual and of the individual's position at the University is permitted by this section, provided that such identification is not used in a manner that implies sponsorship or endorsement by the University.
 3. Public Disclosure
 - a. Publishing or formally presenting University sponsored research results, or providing expert commentary on a subject, without simultaneously disclosing any significant financial interest relating to such results or such subject.
 - b. Unauthorized use of privileged information acquired in connection with one's University responsibilities to further one's own personal interests.
 4. Administrative Responsibilities
 - a. Taking administrative action in the course and scope of University responsibilities that is beneficial to a business in which the individual or a family member has a significant financial interest, including a significant consulting relationship.
 - b. Influencing the negotiation of contracts between the University and an outside organization with which the individual or a family member has a significant financial interest, including a significant consulting relationship.
 5. Committee Participation

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

V. Submission of Conflict Evaluation Forms (Disclosures).

Effective July 1, 1995, each faculty member as well as all other EPA employees will be required to disclose the extent of their relevant activities and significant financial holdings each year. All potential Category II and III activities must be reported. In addition, revisions or updates of the disclosures are required whenever there is a significant change in the individual's affairs (e.g., submission of a project proposal for external funding) that may lead or may be perceived to lead to a conflict. Where there is some question whether an activity should be considered a category I or II activity as described above, the faculty/EPA non-faculty employee should include the activity in the disclosure for consideration by his/her supervisor. To facilitate disclosure and to ensure appropriate uniformity across the University, each individual will complete the "Annual Faculty/Professional Staff Disclosure Form." Each unit administrator will distribute this form annually to all faculty and professional staff (EPA non faculty) under his or her supervision and assure that completed forms are returned.

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

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

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

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

VI. Review and Approval of Activities and Plans for Eliminating or Managing Conflicts.

The unit administrator (chair, dean, or the employee's supervisor in the case of a senior administrator) has the initial responsibility to review and approve or disapprove the disclosure forms filed with him or her by the EPA employees within that unit. The review shall follow the provisions of this Policy.

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

If a potential conflict situation is determined to exist, written plans for eliminating or managing the conflict will be developed in consultations between the employee and his/her supervisors and presented to the Vice Chancellor of the appropriate Division for final approval. The supervisor of the EPA employee will be responsible for assuring the implementation and/or monitoring of the conflict management plan.

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

If after initial review by the department head, dean, and vice chancellor, questions remain regarding ethical issues or if disagreement exists between the EPA employee and the administration regarding the permissibility of activities, the situation may be referred to a faculty/administrative advisory committee for review of conflicts of interest and commitment. The committee will be chaired by the vice chancellor for research with representatives from the faculty senate and the university attorney's office. Situations involving graduate students will include a representative from the graduate council. Other appropriate individuals will be appointed by the vice chancellor for research. Decisions by this committee will be presented to the chancellor for his or her concurrence and, if approved, will become the University's final position subject only to appeal in accordance with Section 501C(4) of *The Code of the University of North Carolina*.

If the activity at issue involves external support (grant, contract or cooperative agreement), the vice chancellor for research shall inform the sponsor whenever the University determines that it is unable to develop a satisfactory conflict management plan for an actual or potential conflict of interest.

VII. Enforcement of the Policies

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

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

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

VIII. Definitions

1. "Business" means any corporation, partnership, sole proprietorship, firm, franchise, association, organization, holding company, joint stock company, receivership, business or real estate trust, or any other legal entity organized for profit or charitable purposes. "Business" excludes University-related entities, which is inclusive of the University, and any private medical practice or any other entity controlled by, controlling, or under common control with the University or with which the University has a contractual relationship for the purpose of providing patient care.
2. "Executive Position" refers to any position that includes responsibilities for a material segment of the operation or management of a business, including Board membership.
3. The "Immediate Family" of a faculty or EPA non faculty employee includes his or her spouse and dependent children.

4. ~~"Significant financial interest" is an interest or an expectation of an interest in a business consisting of stocks or stock options or similar ownership in such business that represents 5% or greater ownership or consisting of salaries, fees, or other continuing payments that exceeds \$10,000 per annum. It does not include mutual, pension or other funds over which the employee does not exercise control.~~
4. **Significant Financial Interest** means anything of monetary value, including but not limited to, salary or other payments for services (e.g., consulting fees or honoraria); equity interests (e.g., stocks, stock options or other ownership interests); and intellectual property rights (e.g., patents, copyrights and royalties from such rights). The term does not include: (1) Salary, royalties, or other remuneration from the applicant institution; (2) Any ownership interests in the institution, if the institution is an applicant under the SBIR Program; (3) Income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities; (4) Income from service on advisory committees or review panels for public or nonprofit entities; (5) An equity interest that when aggregated for the Investigator and the Investigator's spouse and dependent children, meets both of the following tests: Does not exceed \$10,000 in value as determined through reference to public prices or other reasonable measures of fair market value, and does not represent more than a five percent ownership interest in any single entity; or (6) Salary, royalties or other payments that when aggregated for the Investigator and the Investigator's spouse and dependent children over the next twelve months, are not expected to exceed \$10,000. (7) It does not include mutual, pension or other funds over which the employee does not exercise control.
5. "Participate" means to be part of the described activity in any capacity, including but not limited to serving as the principal investigator, co-investigator, research collaborator or provider of direct patient care. The term is not intended to apply to individuals who provide primarily technical support or who are purely advisory, with no direct access to the data (e.g., control over its collection or analysis) or, in the case of clinical research, to the trial participants, unless they are in a position to influence the study's results or have privileged information as to the outcome.
6. "Sponsored Programs" means research, public service, training and instructional projects involving funds, materials, or other compensation from outside sources under grants, contracts, or cooperative agreements.
7. "Technology" means any process, method, product, compound, drug, device, or any diagnostic, medical, or surgical procedure developed using University time, facilities, equipment, or funds whether intended for commercial use or not.

Example Form A

Year _____

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

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

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

Name _____ Title & Rank _____

Dept./Unit _____ Campus Address & Tel. _____

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

1. Are you or a member of your immediate family on the Board of Directors or any Advisory Board of an enterprise that sponsors research, outreach, extension, testing, or service projects at the University in which you are a participant or with which the University has a license agreement relating to an invention or software where you are an inventor or author?
 YES NO
2. Are you or a member of your immediate family an employee or serving in an executive position of an enterprise: a) that sponsors research, outreach, extension, testing, or service projects in which you are a participant; b) with which the University has a license agreement relating to an invention or software where you are an inventor or author; or c) engaged in commercial activities related to your University responsibilities?
 YES NO
3. Do you or a member of your immediate family have an ownership/equity interest/expectancy or other significant financial interest in an enterprise: a) that sponsors research, outreach, extension, testing or service projects; b) with which the University has a license agreement relating to an invention or software where you are an inventor or author; or c) engaged in commercial activities related to your University responsibilities?
 YES NO
4. Are you or a member of your immediate family engaged in external professional activities for pay or an employee of, or otherwise receiving compensation or gratuities from, an enterprise that sponsors research, outreach, extension, testing, or

service projects in which you are a participant or with which the University has a license agreement relating to an invention or software where you are an inventor or author?

YES NO

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

YES NO

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

YES NO

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

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

YES NO

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

YES NO

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

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

YES NO

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

YES NO

ACKNOWLEDGMENT

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

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

Signed this day of _____, 19__

Signature

ADMINISTRATIVE REVIEW AND APPROVAL

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

No actual or potential conflict of interest or commitment exists.

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

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

Dept. Chair/Supervisor

Date

Dean/Senior Supervisor

Date

(If Approval Is Required According to the Policy)

Vice Chancellor

Date

(If applicable)

Example Form B

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

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

Example Form C

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

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

Employee Name Department College/School Reporting Period

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

Enterprise/Corporation Name Complete Address

Principal Business of Enterprise/Corporation

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

1. Describe the number and levels of the students involved, your relationship with the enterprise, and how this relationship involved the students.
2. Describe the nature of the relationship of this enterprise with the University.
3. Discuss the actions or safeguards you will take to prevent your relationship with this enterprise from affecting your responsibilities as a University employee for supervising these students.

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

4. Describe the numbers of students, their status and the nature and scope of the duties for which they are employed.
5. Discuss the actions or safeguards you will take to prevent your relationship with this enterprise from affecting your responsibilities as a University employee for supervising these students.

SIGNATURES:

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

Employee Signature Date

Reviewed by: Approved by:

Department Head Date Dean Date

Example Form D

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

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

Employee Name Department College/School Reporting Period

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

1. Textbook title or nature of specific course material:
2. List the course (number and title) for which this textbook is required:

- b. If yes, describe what resources will be used.
- 8. To your knowledge, does the contracting organization above provide funding which directly supports any of your University duties or activities?
() Yes () No
- 9. To be completed if the contracting organization is a private firm:
 - a. Do you or any member of your immediate family own an equity interest in the contracting organization?
() Yes () No
 - b. Do you hold an office in the contracting organization?
() Yes () No
- 10. Performance of the above described activity is consistent with the Board of Governors Policy on External Professional Activities.

Signatures:

Signature _____

Department _____

Academic Rank or Job Title _____

Administrative Title (if any) _____

ACTIVITY DURING PAST FISCAL YEAR

Provide the following information for each External Professional Activity for Pay in which you engaged during the last fiscal year preceding the date of filing of this "Notice of Intent".

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

ADMINISTRATIVE ACTION ON NOTICE OF INTENT

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

_____	_____
Date	Department Head

Other action (as required):

_____	_____
Date	Dean or Other Administrative Officer *

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

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

_____	_____
Date	Department Head

Action on appeal (if any):

_____	_____
Date	Action taken

	Dean or Other Administrative Officer

Date

Action taken

Chancellor

Any administrative action approving a "Notice of Intent" shall be effective only for the remaining balance of the fiscal year (in the case of 12-month employees) or for the balance of the academic year (for 9-month employees); see UNC General Administrative Policy Statement on External Professional Activities of Faculty and Other Professional Staff (1993) Section 3.b.

Approved: *pending*
 The Board of Governors of The University of North Carolina