

FAYETTEVILLE STATE UNIVERSITY
Conflicts of Interest and Commitment Disclosure Form

Name: _____

Title/Rank: _____ Department/Unit: _____

Campus Address: _____ Campus Phone: _____

CONFIDENTIAL PERSONNEL RECORD

This document constitutes a confidential personnel record under State law. It contains information relating to the above named individual's employment with the State of North Carolina and is part of that individual's official personnel file. The information disclosed in this 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, federal law or lawful court order.

A. Potential Category 2 Conflicts

(If the answer to any of these questions is yes, please complete Appendix A-1.)

Do you now, or are you planning within this academic year to do any of the following:

Yes No

- | | | |
|-----|-----|--|
| [] | [] | 1. Serve on the board of directors or scientific advisory board of an enterprise that provides financial support for University research conducted by you or a member of your immediate family or household? |
| [] | [] | 2. Serve in an executive position in a for-profit or not-for-profit business which conducts research or other activities in an area related to your University duties and responsibilities? |
| [] | [] | 3. Require students to purchase the textbook or related instructional materials produced or authored by you or members of your immediate family or household, which produces compensation for you or a member of your immediate family or household? |
| [] | [] | 4. Receive compensation or gratuities from any individual or entity doing business with the University? |
| [] | [] | 5. Have a <i>significant</i> financial interest in a for-profit business which conducts research or other activities in an area related to your University duties? (<i>See the Conflict of Interest and Commitment and External Professional Activities for Pay policy for a definition of significant financial interest.</i>) |

- 6. Have a *significant* financial interest in a business that competes with services provided by the University?
- 7. Have non-university professional or income-producing activities involving either Fayetteville State University students or other staff?
- 8. Have any other relationships, commitments, or activities that might present or appear to present a conflict of interest or commitment with your University employment?

B. Potential Category 3 Conflicts

(If the answer to any of these questions is yes, please complete Appendix A-2.)

Do you now, or are you planning within this academic year to do any of the following:

Yes No

- | | | | |
|--------------------------|--------------------------|----|---|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. | Participate in University research involving a technology owned by or contractually obligated to (by license or option to license) a business in which you or a member of your immediate family or household, has a <i>significant</i> financial interest or holds an executive position? |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. | Participate in University research which is funded by grant or contract from a business in which you or a member of your immediate family or household has a <i>significant</i> financial interest? |
| <input type="checkbox"/> | <input type="checkbox"/> | 3. | Assign students or other individuals to University research projects sponsored by a business in which you or a member of your immediate family or household has a <i>significant</i> financial interest? |
| <input type="checkbox"/> | <input type="checkbox"/> | 4. | Accept support for University research under conditions that require research results to be held confidential or unpublished, or inordinately delayed in publication (other than as allowed by the University's and/or UNC Patent and Copyright policies). |
| <input type="checkbox"/> | <input type="checkbox"/> | 5. | Make referrals of University business for an external enterprise in which you or a member of your immediate family or household has a <i>significant</i> financial interest? |
| <input type="checkbox"/> | <input type="checkbox"/> | 6. | Have non-university professional or income-producing activities involving either Fayetteville State University students or other staff? |
| <input type="checkbox"/> | <input type="checkbox"/> | 7. | Have any other relationships, commitments, or activities that might present or appear to present a conflict of interest or commitment with your University employment? |

I hereby acknowledge that I have read and understand the University's policy on Conflicts of Interest and Commitment and that the information I have provided includes all potential conflicts of interest and commitment with regard to my position at Fayetteville State University.

Additionally, 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 may either: (a) give rise to a potential conflict of interest, or (b) eliminate a conflict previously disclosed.

Signature

Date

**Conflicts of Interest and Commitment Disclosure Form
Report of Activities Constituting Potential Category 2 Conflicts**

Name: _____

Title/Rank: _____ Department/Unit: _____

Campus Address: _____ Campus Phone: _____

Please provide the information requested below for each item to which you answered “yes” on the annual disclosure form under *Section A, “Potential Category 2 Conflicts.”*

1. Service on the board of directors or scientific advisory board of an enterprise that provides financial support for University research conducted by you or a member of your immediate family or household.

a. Name of the enterprise: _____

b. Position you hold: _____

c. Describe your duties: _____

d. Describe the University research in which you or your family/household members participate that is funded by the enterprise:

2. Service in an executive position in a for-profit or not-for-profit business which conducts research or other activities in an area related to your University duties and responsibilities.

a. Name of the business: _____

b. Position you hold: _____

c. Describe your duties in that position: _____

d. Describe the research or other activities conducted by the business and how they relate to your University duties: _____

3. Require students to purchase the textbook or related instructional materials produced or authored by you or members of your immediate family or household, which produces compensation for you or a member of your immediate family or household.

a. Give the name and description of the textbook or related instructional materials:

b. List the authors and their relationship to the University:

c. State why this text or related materials is the best choice for the class:

4. Receive compensation or gratuities from any individual or entity doing business with the University.

a. Name of the individual or entity: _____

b. Describe the nature and value of the compensation or gratuities:

5. Have a *significant* financial interest in a for-profit business, which conducts research or other activities in an area related to your University duties.

a. Name of the business: _____

b. Describe the research or other activities conducted by the business and how they relate to your University duties:

c. Describe the nature and amount of your financial interest in the business:

6. Have a *significant* financial interest in a business that competes with services provided by the University

a. Name of the business: _____

b. Describe the activities conducted by the business and how they compete with services provided by the University:

c. Describe the nature and amount of your financial interest in the business:

7. Have non-University professional or income-producing activities involving either University students or other staff.

Describe: _____

8. Have any other relationships, commitments or activities that might present or appear to present a conflict of interest or commitment with your University employment.

Describe: _____

Signature

Date

**Conflicts of Interest and Commitment Disclosure Form
Report of Activities Constituting Potential Category 3 Conflicts**

Name: _____

Title/Rank: _____ Department/Unit: _____

Campus Address: _____ Campus Phone: _____

Please provide the information requested below for each item to which you answered “yes on the annual disclosure form under Section B, “Potential Category III Conflicts.”

1. Participate in University research involving a technology owned by or contractually obligated to (by license or option to license) a business in which you or a member of your immediate family or household, has a *significant* financial interest or holds an executive position.

a. Name of the business: _____

b. Position you or your family/household member holds, if any: _____

c. Describe the duties of the position: _____

d. Describe the nature and amount of the financial interest that you or your family/household member holds in the business:

e. Describe the University research in which you or your family/household member participates, if any:

f. What is the licensed or obligated technology? _____

2. Participate in University research that is funded by grant or contract from a business in which you or a member of your immediate family or household has a *significant* financial interest.

a. Name of the business: _____

b. Describe the nature and amount of the financial interest that you or your family/household member holds in the business: _____

c. Describe the University research in which you or your family/household member participates:

3. Assign students, postdoctoral fellows or other trainees to University research projects sponsored by a business in which you or a member of your immediate family or household has a *significant* financial interest?

a. Name of the business: _____

b. Describe the nature and amount of the financial interest that you or your family/household member holds in the business:

c. Identify the University research assignments to which the students are assigned:

4. Accept support for University research under conditions that require research results to be held confidential or unpublished or inordinately delayed in publication (other than as allowed by UNC and University policies).

a. Name of the individual or entity providing support: _____

b. Describe the conditions imposed or agreed to: _____

5. Make referrals of University business for an external enterprise in which you or a member of your immediate family or household has a *significant* financial interest.

a. Name of the external business enterprise: _____

b. Describe the nature and amount of the financial interest that you or your family/household member holds in the business:

c. Describe the referrals of University business made: _____

6. Have non-University professional or income-producing activities involving either University students or other staff.

Describe: _____

7. Have any other relationships, commitments or activities that might present or appear to present a conflict of interest or commitment with your University employment.

Describe: _____

Signature

Date

**Conflicts of Interest and Commitment Disclosure Form
Administrative Review**

I. First Level Administrative Review*

Based on the activity reported, and to the best of my knowledge and in my judgment:

- a. _____ No conflict of interest or commitment exists
- b. _____ A **Category 2** conflict was reported, but does not appear significant, or has been resolved with the employee to my satisfaction. (*Attach explanation.*)
- c. _____ A **Category 3** conflict was reported, but the employee has
 - (1) _____ provided an explanation (attach explanation), or
 - (2) _____ requested and been recommended for a waiver (*Attach explanation for recommending a waiver and forward to Dean/Vice Chancellor for approval.*)
- d. _____ A conflict was reported, but it cannot be satisfactorily managed, reduced or eliminated.

Signature

Title

Date

II. Second Level (Dean or Vice Chancellor) Administrative Review of Waivers Granted/Denied for Category 3 Conflicts

I have reviewed the reported Category 3 conflict and the materials submitted in support of the employee's request for a waiver. I hereby:

- a. _____ Approve the waiver
- b. _____ Approve the waiver with modifications (*Attach explanation.*)
- c. _____ Disapprove the waiver.

Signature

Title

Date

* Employees report to their unit head, unit heads report to their dean or director, deans and directors report to their vice chancellor, vice chancellors and other direct reports to the Chancellor report to the Chancellor.