

**FAYETTEVILLE STATE UNIVERSITY**  
**Conflicts of Interest and Commitment Disclosure Form**  
*(To be completed by all full-time, part-time, permanent and temporary employees)*

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.**

**POTENTIAL CATEGORY 2 CONFLICTS**

**Do you now, or are you planning within this academic year to do any of the following.** *If the answer to any of these questions is yes, please provide details in the section following the question.*

1. Engage in self-employment activities or participate in business partnerships, employment or consulting arrangements with entities other than the University? **YES [ ] NO [ ]**

a. Name of your business (if different from your name) and the name of other entities in which you engage in such activities/arrangements: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

b. Describe the activities you are engaged in: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

2. Serve on the board of directors or an advisory board of an entity that provides financial support for University research conducted by you, your spouse or dependent child? **YES [ ] NO [ ]**

a. Name of the entity: \_\_\_\_\_

b. Position you hold: \_\_\_\_\_

c. Describe your duties: \_\_\_\_\_

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d. Describe the University research which you conduct that is funded by the entity \_\_\_\_\_

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3. Serve in an executive position in a for-profit or not-for-profit business which conducts research or is engaged in activities in an area related to or similar to your University duties and responsibilities?  
**YES [ ] NO [ ]**

a. Name of the entity: \_\_\_\_\_

b. Position you hold: \_\_\_\_\_

c. Describe your duties in that position: \_\_\_\_\_

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d. Describe the research or other activities conducted by the entity and how they relate to or are similar to your University duties: \_\_\_\_\_

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e. Indicate the amount of hours per week that you dedicate to serving in this position \_\_\_\_\_

4. Require students to purchase the textbook or related instructional materials produced or authored by you, your spouse or dependent child, which produces compensation for you, your spouse or dependent child? **YES [ ] NO [ ]**

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

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

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

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5. Receive compensation, gift or gratuity from any individual or entity doing business with the University? **YES** [ ] **NO** [ ]

a. Name of the individual or entity: \_\_\_\_\_

b. Describe the nature and value of the compensation, gift or gratuity:

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6. Have a *financial interest* in a for-profit business which conducts research or is engaged in other activities in an area related to or similar to your University duties? (*See the University's Conflict of Interest and Commitment and External Professional Activities for Pay policy for a definition of financial interest.*) **YES** [ ] **NO** [ ]

a. Name of the entity: \_\_\_\_\_

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

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

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7. Have a *financial interest* in an entity that competes with services provided by the University? **YES** [ ] **NO** [ ]

a. Name of the business: \_\_\_\_\_

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

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

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8. Have non-university professional or income-producing activities involving either Fayetteville State University students or employees? **YES** [ ] **NO** [ ]

Describe: \_\_\_\_\_

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9. Serve on any private-sector board (including for profit, non-profit) or public-sector board, advisory or honorary, whether compensated or not? **YES** [ ] **NO** [ ]

Provide the names of each board and a brief description of the board's activities?

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10. Have any other relationships, commitments, or activities that suggest a possibility of conflicting loyalties that can impair objectivity? (See examples listed under Section IV.B.1.b)  
**YES** [ ] **NO** [ ]

Describe: \_\_\_\_\_

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**POTENTIAL CATEGORY 3 CONFLICTS**

**Do you now, or are you planning within this academic year to do any of the following.** *If the answer to any of these questions is yes, please provide details in the section following the question.*

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, your spouse or dependent child, has a *financial interest* or holds a position. **YES** [  ] **NO** [  ]

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, your spouse or dependent child holds in the business:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

e. Describe the University research you will or are conducting, if any:

\_\_\_\_\_

\_\_\_\_\_

f. What is the licensed or obligated technology? \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

2. Participate in University research/other activity that is funded by a grant or contract from a business in which you, your spouse or depended child has a *financial interest*. **YES** [  ] **NO** [  ]

a. Name of the business: \_\_\_\_\_

b. Describe the nature and amount of the financial interest that you, your spouse or dependent child holds in the business: \_\_\_\_\_

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c. Describe the University research in which you participate:

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3. Assign students, employees or others to University research projects sponsored by a business in which you your spouse or dependent child has a *financial interest*? **YES** [ ] **NO** [ ]

a. Name of the business: \_\_\_\_\_

b. Describe the nature and amount of the financial interest that you, your spouse or dependent child holds in the business:

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c. Identify the University research assignments to which the students, employees or others are assigned:

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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). **YES** [ ] **NO** [ ]

a. Name of the individual or entity providing support: \_\_\_\_\_

b. Describe the conditions imposed or agreed to: \_\_\_\_\_

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5. Make referrals of University business for an external entity in which you, your spouse or dependent child has a *financial interest*. **YES** [ ] **NO** [ ]

a. Name of the external entity: \_\_\_\_\_

b. Describe the nature and amount of the financial interest that you, your spouse or dependent child holds in the business:

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c. Describe the referrals of University business made: \_\_\_\_\_

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6. Have non-University professional or income-producing activities involving either University students or employees. YES [ ] NO [ ]

Describe such activities: \_\_\_\_\_

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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. YES [ ] NO [ ]

Describe: \_\_\_\_\_

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#### **ACKNOWLEDGEMENT**

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

**THE COMPLETED FORM SHOULD BE PROVIDED TO  
THE EMPLOYEE'S DEPARTMENT CHAIR OR UNIT HEAD.**

**FAYETTEVILLE STATE UNIVERSITY**  
**Conflicts of Interest and Commitment Disclosure Form**  
**Administrative Review**

**Supervisor Review\***

Based on the activity reported, and to the best of my knowledge and in my judgment the following is a result of my review of the employee's (check one).

- a. \_\_\_\_\_ No conflict of interest or commitment reported or 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 and the employee has (check one):
  - (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 Date  
\_\_\_\_\_  
Title

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**Dean or Vice Chancellor Review of Waivers Granted/Denied (Category 3 Conflicts only)**

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 Date  
\_\_\_\_\_  
Title

Rev. 09-17

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