



Supplemental Information  
**Annual Faculty/Staff Disclosure Form**

**I. Introduction**

A Conflict of Interest (COI) may take various forms, but arises when a faculty or staff member is or may be in a position to influence the university business, research, or other decisions in ways that could lead to any form of personal gain for the faculty or staff member or the faculty or staff member's family, or give improper advantage to others to the university's detriment.

Effective July 1, 1995, all EPA faculty members and other professional staff of East Carolina University are subject to revised policies concerning conflicts of interest and conflicts of commitment affecting University employment and external professional activities. This policy covers all EPA faculty and non-faculty employees regardless of their percent of employment insofar as their University responsibilities are concerned, and EPA 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 University Compliance Officer. Phone: 252-328-9473 or email: [jchinn@ecu.edu](mailto:jchinn@ecu.edu)

**II. Important Definitions:**

**Conflict of Interest:** A conflict of interest is situation where from the perspective of an independent observer, there is the possibility that an individual's private, financial interests, or his or her family's interests, may influence the individual's professional actions, decisions, or their judgment.

**Enterprise:** Any corporation, partnership, sole proprietorship, firm, franchise, association, organization, holding company, joint stock company, receivership, business or real estate trust, or *any legal entity organized for profit or charitable purposes*. University and university related entities are excluded. (see 'Significant Financial Interest' below for further exclusions.) The text of the ECU Policy of Conflict of Interest and Commitment uses the term 'business' rather than enterprise.

**Significant Financial Interest:** Significant Financial Interest means anything of monetary value, including but not limited to, salary or other payments for services (e.g., consulting fees or honoraria); equity interests (e.g., stocks, stock options or other ownership interests); and intellectual property rights (e.g., patents, copyrights, license agreements, and royalties from such rights).

The term does not include:

1. Salary, royalties, or other remuneration from East Carolina University to its faculty or staff;

2. Income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities;
3. Income from service on advisory committees or review panels for public or nonprofit entities;
4. An equity interest that when aggregated for the faculty/staff and the faculty/staff's immediate family, 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 (5%) ownership interest in any single entity;
5. Salary, royalties or other payments that when aggregated for the faculty/staff and the faculty/staff's immediate family over the next twelve months, are not expected to exceed \$10,000 from any one source.
6. Mutual, pension, investment or other funds over which the employee or the University does not exercise direct control.

### **III. Summary of Activities that DO NOT Usually Require Reporting in the Annual Faculty/Staff Disclosure Form:**

1. 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, section II). **However, textbooks and other teaching aids, materials, equipment, etc. written or invented by the employee or his/her immediate family that are recommended or required for use for University classes or programs must be disclosed.**
2. 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. These activities usually do not need to be reported on the annual disclosure form even if they involve a nominal honoraria or reimbursement of expenses. **However, a "Notice of Intent to Engage in External Professional Activity" may be required pursuant to ECU's Policy Statement on External Professional Activities (Faculty Manual, part VI, section V).**

See Faculty Manual, Appendix I for complete details.

For categories and examples of potential conflicts of interest see

[http://www.ecu.edu/cs-acad/aa/upload/Categories\\_and\\_Examples\\_of\\_Potential\\_Conflicts\\_of\\_Interest.pdf](http://www.ecu.edu/cs-acad/aa/upload/Categories_and_Examples_of_Potential_Conflicts_of_Interest.pdf)

For examples of real, apparent and easily managed COI of ECU Faculty see

<http://www.ecu.edu/cs-acad/aa/upload/ExamplesCOIs.pdf>