Conflict of Interest: Possible Management Plans

The following scenarios are provided as examples only. Situations and activities could be viewed as falling into one of the following three general categories:

**Category A: Not Significant and Generally Permissible Activities**
Situations where any financial interest held by an employee, their family, or close relation is below the threshold for Significant Financial Interest and where the situation suggests no actual, potential, or perceived Conflict of Interest. These situations, once disclosed, may continue without special safeguards or oversight.

**Category B: Potential or Perceived Conflicts of Interest**
Activities which may represent Conflicts of Interest, but in many cases would be permitted to go forward after disclosure with a Management Plan.

**Category C: Actual Conflicts of Interest**
Activities which represent actual Conflicts of Interest, and which may be permitted to go forward after disclosure only with an appropriate Management Plan to eliminate the conflict, safeguard against prejudice towards the University, and provide continuing oversight.

<table>
<thead>
<tr>
<th>Situation</th>
<th>Category</th>
<th>Management Plan</th>
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</thead>
<tbody>
<tr>
<td>1) A staff member is to take part in the evaluation and selection of a supplier from a number of bidders. One of the bidding companies is operated by the staff member’s family member.</td>
<td>C</td>
<td>The staff member does not take part in that or any other supplier evaluation/selection that involves her family’s company.</td>
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<tr>
<td>2) A faculty member accepts royalties for the publication of his scholarly work.</td>
<td>A</td>
<td>No management plan needed.</td>
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<td>3) A faculty member is conducting sponsored research on a product developed by a company for which the faculty member is a consultant.</td>
<td>B</td>
<td>The faculty member discloses her relationship with the company to the sponsor of the research and in any published research results for that product. No management plan needed unless the organization seeks to do business with the University.</td>
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<tr>
<td>4) A staff member serves on the board of a local community organization.</td>
<td>A</td>
<td>The staff member does not make the hiring decision, but instead refers the hiring decision to a supervisor.</td>
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<td>5) A staff member would like to hire his spouse as a consultant to the University.</td>
<td>C</td>
<td>The staff member informs the student about the possible financial gain. Another faculty colleague makes an objective judgment about whether this research is in the student’s scholarly best interest.</td>
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<tr>
<td>6) A faculty member directs a student into a research area from which the faculty member may receive financial gain.</td>
<td>B</td>
<td>The staff member is excluded from participating in this or any other decision on</td>
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<tr>
<td>7) A staff member has a financial stake in a company that does business with</td>
<td>C</td>
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the University. The staff member has
the opportunity to make a decision for
the University that will impact that
business.

8) A staff member owns stock in a
company that does business with the
University. The staff member does not
have any influence over University
decisions regarding that company.

9) A faculty member would like to use
laboratory space for consulting
purposes.

10) A staff member would like to rent
property to the University.

11) A staff member is in the position to
authorize University-paid travel for a
family member.

12) A faculty member is offered a
position on a scientific board of a
company that has research contracts
with the faculty member’s department.

13) A corporation asks a faculty
member to sign a contract that would
forbid publication of the faculty
member’s research findings.

14) A faculty member accepts an
honorarium for giving a lecture outside
the University.

15) A staff member serves as a director
of an organization that does business
with the University.

16) A faculty member is an owner,
manager or officer of a company that
does business with the University.

17) A staff member is selecting
candidates for admission to the
University and a family member applies
for admission.

behalf of the University with regard to that
business.

A No management plan needed unless the staff
member is given authority to influence
University decisions regarding the company.

B Under appropriate circumstances, the faculty
member may be allowed to enter into a
contract with the University to pay for her
non-University use of the laboratory.

C The decision by the University to rent the
staff member’s property is made by another
non-subordinate member of the University.

The staff member does not make the
authorization decision, but instead refers the
authorization to his supervisor.

The faculty member discloses his relationship
with the company to the department’s
students and staff, and in any published
research results the faculty member takes part
in for the company.

The faculty member renegotiates the contract
to postpone publication until after a certain
time has elapsed, but not to prevent
publication altogether.

A No management plan needed.

B The staff member agrees to not take part in
any University decisions that involve this
organization.

C The staff member does not take part in the
evaluation/selection process relating to that
family member.

Adapted from “Conflict of Interest Examples & Categories,” University of Notre Dame, December 2009