

COI-W Disclosure, Review, and Management Guide

Conflicts of Interest in the Workplace (COI-W) Policy

Developed by The University of Iowa
Office of the Provost and
University Human Resources

February 26, 2014

An electronic version of the document is available on the Provost Office website:
<http://provost.uiowa.edu/conflict-interest-workplace>

UI Conflicts of Interest in the Workplace Policy

Disclosure, Review, and Management Guide

This overview guide is designed to assist the campus in implementation of the disclosure, review, and management process of the Conflicts of Interest in the Workplace (COI-W) policy.

The Guide contains the following sections:

- I. **Conflict of Interest in the Workplace (COI-W) [Roles and Responsibilities](#)** (Page 2),
- II. **Conflict of Interest in the Workplace (COI-W) [Categories](#)** (Page 3),
- III. **COI-W [Review and Management Considerations](#)** (Pages 4-11), and
- IV. **[Resources](#)** (Page 13), including:
 - [Relevant UI Policies and Resources](#) for Managing Conflicts of Interest in the Workplace (Page 14),
 - [Management Plan Template](#) (Pages 15-17),
 - [Conflicts of Interest in the Workplace and eCOI – FAQ](#) (Pages 18-24).

For more information about this Guide or the Conflicts of Interest in the Workplace policy, contact:

- **For faculty-related questions:**

Office of the Provost
111 Jessup Hall
Phone: 319.335.3991
Email: faculty@uiowa.edu

- **For staff-related questions:**

University Human Resources
121-10 University Services Building (USB)
Phone: 319-335-3553
Email: HR-Help@uiowa.edu

For information about addressing conflicts of interest in other aspects of the University (e.g., Research, Purchasing, Health Care, Employment), please consult with the respective policies and resources listed here: <http://provost.uiowa.edu/conflicts-commitment-and-interest-policies>

An electronic version of the document is available on the Provost Office website:

<http://provost.uiowa.edu/conflict-interest-workplace>

Working document. Please provide feedback and direct questions to Diane Finnerty, Office of the Provost: diane-finnerty@uiowa.edu.

Updated March 25, 2014

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I. COI-W Roles and Responsibilities

<p>Employee Responsibilities</p>	<ol style="list-style-type: none"> 1) All UI employees are required to disclose outside professional activities and financial interests that pose an actual or potential conflict of interest via the eCOI online disclosure system. When possible, disclose any potential or actual conflicts of interest in the workplace <i>in advance of</i> initiating an activity or when the employee, in the exercise of reasonable diligence, first becomes aware of the conflict or the potential for conflict. 2) If required, complete an Annual Disclosure of Outside Professional Activities and Interests via the eCOI online disclosure system. See Conflict of Interest in the Workplace FAQ for the list of UI employees required to complete an Annual Disclosure each year, whether or not they have any interests or activities to disclose. 3) If a Management Plan is developed, adhere to the conditions of the Management Plan and provide updates, as relevant.
<p>Central Office Responsibilities</p> <ul style="list-style-type: none"> • Faculty Disclosures: Provost Office • Staff Disclosures: University HR 	<ol style="list-style-type: none"> 1) Review initial disclosure and determine whether the disclosed information is relevant to the COI-W policy, Conflicts of Commitment policy, and/or whether other COI policies and procedures pertain. Communicate with other offices, as necessary. 2) Review disclosure and offer recommendations for college/division level follow-up. 3) Assign a preliminary conflict of interest (COI-W) category applying consistent treatment across colleges/divisions. 4) Forward COI-W Disclosure Report and any related notes to appropriate Senior HR Leadership Representative (for staff) or Associate Dean for Faculty (for faculty) and check progress in 14 days with expectation of completion of review and/or management process in 30 days. 5) Keep record of collegiate/division reviewer's COI category assignment and whether a Management Plan was developed, including the date of last signature on a Management Plan. 6) Send notification of need for annual review of existing Management Plan.
<p>Collegiate/ Division Reviewer Responsibilities</p> <ul style="list-style-type: none"> • Faculty Disclosures: Associate Dean for Faculty • Staff Disclosures: Senior HR Leadership Representative 	<ol style="list-style-type: none"> 1) Review and affirm the conflict of interest (COI) assigned color category. If additional information is needed to make that determination, consult with other persons, which may include the local HR Representative, the supervisor, and/or the disclosing employee. 2) Inform Central Office of the category and whether it was determined that a Management Plan was needed. Provide an explanation to the Central Office if the category is less stringent than the preliminary category assigned by that office. 3) If Management Plan is required, develop a plan within thirty (30) days of email notification in consultation with the employee's supervisor/DEO. 4) Inform employee of the Management Plan and obtain her/his signature on the plan; provide final Management Plan to supervisor/DEO and employee. File a copy in employee's personnel file. 5) Implement any actions specified in the plan and monitor implementation of the management plan at least annually.



II. COI in the Workplace (COI-W) Categories

<p>Red Category:</p> <p>Actual Conflict of Interest.</p> <p>Management Plan required.</p>	<p>The activity or interest poses a Conflict of Interest in the Workplace or may be prohibited by policy. If permitted, the activity may go forward after disclosure <u>only</u> with an appropriate Management Plan in place to eliminate the conflict, safeguard against bias interfering with University-related decision-making, and provide mechanisms for continued oversight. Examples of a Red designation include:</p> <ul style="list-style-type: none">• An interest in an outside entity that may compromise, or have the appearance of compromising, an employee's professional judgment in performing their University duties (e.g., having a financial interest in an outside company to which the employee may be in a position to refer students/staff resulting in personal gain).
<p>Yellow Category:</p> <p>Potential or Perceived Conflict of Interest.</p> <p>Management Plan recommended.</p>	<p>Activity or interest presents a potential conflict or strong likelihood of the perception of one. Activities are likely permissible, but a Management Plan would decrease likelihood of a conflict developing now or in future. Examples of a Yellow designation include:</p> <ul style="list-style-type: none">• It is unlikely that the employee will influence a business decision pertaining to the interest or activity, but the appearance of influence exists. Management Plan is needed.• In the current disclosed scenario, no conflict of interest exists, but it is possible in a changed scenario in the future (e.g., a member of one's immediate family is enrolled in an academic department, but not currently assigned to a family member's course at this time). Management Plan is not required at this time, but caution should be exercised.
<p>Green Category:</p> <p>No Actual/Potential Conflict and Generally Permissible Activities.</p> <p>No Management Plan required.</p>	<p>Activity or interest does not appear to present an actual, potential, or perceived Conflict of Interest in the Workplace. These disclosed situations may go forward after disclosure without further review or management. Examples of a Green designation include:</p> <ul style="list-style-type: none">• The disclosed Outside Professional Activity is considered part of the employee's position responsibilities (e.g., "academic activities" for faculty).• The disclosed interest/activity will have no opportunity to compromise or appear to compromise an employee's professional judgment (e.g., teaching, business decision-making).

III. COI-W Review and Management Considerations

Overview

The following guide provides general questions for college/unit administrators to consider when reviewing a disclosure to determine what, if any, management plan provisions need to be put into place to address an actual or potential conflict of interest in the workplace. Very few outside activities and interests are prohibited, but some require a management plan before going forward. The following guidelines provide questions and suggestions based on the potential types of outside activities/interests:

- A. [Outside Professional Activities with a Non-University Entity](#) (e.g., Consulting)
- B. [Positions Held in an Outside Entity](#)
- C. [Financial Interest in an Outside Entity](#)
- D. [Royalties/Licensing](#)
- E. [Outside Interests and Activities Involving UI Students](#)
- F. [Outside Activities or Interests Involving UI Employees](#)
- G. [Other Personal Considerations](#)
- H. [Conflict of Commitment \(Faculty Effort\)](#)

A. Outside Professional Activities With Non-University Entity (e.g., Consulting)

A. Disclosure Review Considerations

1. What types of activities is the employee engaging in with the outside entity (e.g., Advisory Board, Paid Authorship, Editing, Consultant, Company Founder, Expert Witness, Trainer)?
2. Is the professional expertise used in this outside consulting related to the professional expertise involved in the employee's UI position (e.g., technical skills, specialized knowledge, credential/license, teaching)?
3. What type of entity is it (e.g., for-profit, not for profit, public/government, other)?
4. Does the activity interfere/have the appearance of interfering with the performance of the employee's assigned duties due to the relationship with the entity (e.g., employee prescribes products distributed by company, uses products/services in professional role, evaluates entity's products, participates in purchasing/business decisions, involves UI students or supervisees)? If involves UI students or supervisees, see "E." and "F." below.
5. Is the employee a full-time faculty member or administrator with a faculty appointment? If yes, see "I." below and also the UI Conflicts of Commitment policy: <http://provost.uiowa.edu/conflict-commitment>.
6. Is the employee using some type of allowable leave to conduct these outside professional activities?

A. COI-W Management Plan Considerations

1. If the employee is responsible for business decision-making related to this entity, the employee must be removed from the decision-making process. When the decision involves responding to a competitive bid process, please refer to the [UI Purchasing Conflict of Interest](#) policy for requirements.

2. Clarify the extent of any external time and effort commitments and how the employee will assure that his/her university responsibilities are met. If faculty or administrators with faculty appointments, please see the Conflict of Commitment policy for additional guidelines.
3. Ensure that the employee understands that any consulting agreement he/she enters into with a company or outside entity must not conflict with his/her obligations to the University. If a faculty member, provide "Information for University of Iowa Faculty on Outside Consulting Activities": <http://provost.uiowa.edu/files/provost.uiowa.edu/files/consulting.pdf>
4. Clarify the employee's responsibilities to ensure that he/she will not use University Resources (e.g., email, phone, website) in connection with these outside activities. Inform employee of the following UI policies:
 - a. Use of University Supplies [OM 11-17.17(1)]: <http://www.uiowa.edu/~our/opmanual/iii/17.htm#1717>
 - b. Usurpation of University Opportunities [OM 11-17.17(2)]: <http://www.uiowa.edu/~our/opmanual/iii/17.htm#1717>
 - c. Acceptable Use of Information Technology Resources (OM II-19): <http://www.uiowa.edu/~our/opmanual/ii/19.htm>
 - d. Use of University Name (OM II-33): <http://www.uiowa.edu/~our/opmanual/ii/33.htm>
 - e. University of Iowa Intellectual Property Policy (OM V-30): <http://www.uiowa.edu/~our/opmanual/v/30.htm>
 - f. Ethics and Responsibilities for University of Iowa Staff (OM III-16): <http://www.uiowa.edu/~our/opmanual/iii/16.htm>
 - g. Faculty: Professional Ethics and Academic Responsibility (OM III-15): <http://www.uiowa.edu/~our/opmanual/iii/15.htm>

B. Positions Held in an Outside Entity

B. Disclosure Review Considerations

1. Is the outside entity in the same field of expertise or related to the employee's UI position/responsibilities?
2. What type of position(s) does the employee and/or immediate family member hold in the outside entity (e.g., advisory board, Board of Directors, CEO/Executive, line officer or other position with the ability to influence the entity's business decisions)?
3. What are the start/end dates of the position?
4. If employment, is the employee expected to generate similar work products for both employers?
5. Could the success of the non-university entity be impacted by the decisions the employee makes in his/her university role?
6. Could the success of the University be directly impacted by the decisions the employee makes in his/her role in the outside entity?

B. COI-W Management Plan Considerations

1. Clarify the nature of the employee's position in the outside entity and any areas in which a conflict may present itself.
2. Clarify the extent of the external time commitment and how the employee will assure that his/her university responsibilities are met or appropriate leave taken.
3. Clarify that in the course of his/her work as a UI employee, the employee may not refer anyone to the entity, if the referral will generate a benefit to the employee or a member of his/her

immediate family.

4. Clarify the employee's responsibilities to ensure that he/she will not use University Resources (e.g., email, phone, website) in connection with these outside activities. Inform employee of the following UI policies:
 - a. Use of University Supplies [OM 11-17.17(1)]:
<http://www.uiowa.edu/~our/opmanual/iii/17.htm#1717>
 - b. Usurpation of University Opportunities [OM 11-17.17(2)]:
<http://www.uiowa.edu/~our/opmanual/iii/17.htm#1717>
 - c. Acceptable Use of Information Technology Resources (OM II-19):
<http://www.uiowa.edu/~our/opmanual/ii/19.htm>
 - d. Use of University Name (OM II-33): <http://www.uiowa.edu/~our/opmanual/ii/33.htm>
 - e. University of Iowa Intellectual Property Policy (OM V-30):
<http://www.uiowa.edu/~our/opmanual/v/30.htm>
 - f. Ethics and Responsibilities for University of Iowa Staff (OM III-16):
<http://www.uiowa.edu/~our/opmanual/iii/16.htm>
 - g. Faculty: Professional Ethics and Academic Responsibility (OM III-15):
<http://www.uiowa.edu/~our/opmanual/iii/15.htm>

C. Financial Interest in an Outside Entity

C. Disclosure Review Considerations

1. Is the outside entity related to the employee's University position or in the same field of expertise as her/his UI position?
2. Does the interest in the outside entity interfere/have the appearance of interfering with the performance of the employee's assigned duties due to the relationship with the entity (e.g., employee prescribes products distributed by company, uses products/services in professional role, evaluates entity's products, participates in purchasing/business decisions, uses expertise, involves UI students or supervisees)? If involves UI students or staff, see sections "E." and "F." below.
3. In her/his UI position, does the employee have decision-making authority for any transactions with this outside entity?
4. Does the employee or an immediate family member have the potential to personally benefit from UI interactions with the outside entity?

C. COI-W Management Plan Considerations

1. If the employee uses the entity's goods or services in her/his UI position responsibilities, full disclosure must be made to the individuals with whom the product is being recommended (e.g., patient, students). If a UI Health Care employee, please refer to [UI Health Care Conflict of Interest and Conflict of Commitment Policy Regarding Interactions with Industry](#) for management plan.
2. If employee is responsible for promoting or providing information about the entity's goods or services to the University community, full disclosure of her/his financial interest or that of an immediate family member must be made at time of discussion and recusal from all decisions related to the entity must be ensured.
3. If the employee is responsible for business decision-making related to this entity, the employee must be removed from the decision-making process. When the decision involves responding to a competitive bid process or selling a good or service to a state agency in excess of \$2,000 after

public notice and bid, please refer to the [UI Purchasing Conflict of Interest](#) policy for requirements. Further, this relationship should be noted on the UI [Vendor Application](#).

D. Royalties/Licensing

D. Disclosure Review Considerations

1. What type of intellectual property is generating the royalties/licensing (E.g., royalty from academic books, textbooks, patents from inventions)?
2. Is the royalty paid by a scholarly journal or academic press?
3. Does the employee have the authority to make decisions that would directly benefit him/herself or an immediate family member in the form of royalties/licensing fees (e.g., assigning textbooks from which royalties are earned, using software or other product in one's UI position)?

D. COI-W Management Plan Considerations

1. Ensure that the UI employee is aware of the University of Iowa Intellectual Property Policy (OM V-30): <http://www.uiowa.edu/~our/opmanual/v/30.htm>
2. If royalties are received from a book or materials recommended or required in an academic course, faculty members should not profit personally and must abide by the "Royalties from Course Materials" policy [OM 17.17(3)]: <http://www.uiowa.edu/~our/opmanual/iii/17.htm#1717>
3. If the employee is responsible for business decision-making related to the copyrighted or patented product, the employee must be removed from the decision-making process. When the decision involves a competitive bid process, please refer to the [UI Purchasing Conflict of Interest](#) policy for requirements.

E. Outside Interests and Activities Involving UI Students

E. Disclosure Review Considerations

1. What is the relationship between the student and the disclosing employee?
2. Is the student a UI employee (e.g., work study, graduate assistant)? If yes, is the disclosing employee in the supervisory line of authority for the student employee?
3. Is the student enrolled in a course being taught by the employee and/or is the student's academic work being supervised by the assigning employee?
4. Will involvement in the outside activity benefit the student's academic career (e.g., working in a company related to her/his research interests) or is it unrelated and primarily a monetary arrangement (e.g., babysitting, gardening)?
5. Is the involvement in the outside activity an on-going matter or a brief, one-time event?

E. COI-W Management Plan Considerations

The following are guidelines for addressing actual or potential conflicts of interest when students and employees have dual relationships (e.g., outside activities, employment)

1. In cases where the student is also a [UI employee](#) (e.g., research assistant, graduate assistant, work study) and supervised by the faculty member, the [Conflict of Interest in Employment \(Nepotism\)](#) policy applies. Correspondence to the student should identify an administrator who has the authority to serve as a "safe harbor" for the student to report academic concerns that may arise from this dual relationship. See the Section [Templates and Resources](#) for sample "safe harbor" language.
2. In cases where the outside interest is [substantially related](#) to the employee's

research/scholarly activities and the employee is currently instructing, evaluating, or supervising, directly or indirectly, the student's academic work or participation in a University program is enrolled in a course being taught by the employee, then the Management Plan must ensure:

- a. **Instructional Context**: Management of the instructional context involves a qualified, neutral third party to end the evaluative, supervisory and, where possible, instructional functions causing the conflict. If this is not possible, the outside relationship is prohibited during the duration of the course.
 - b. **Thesis Advising**: If the faculty member is the chair or a member of the student's thesis committee, all members of the committee should be informed of the outside relationship and informed that while the UI does not prohibit these types of dual relationships, that the committee structure is designed to provide balance and assure quality. The student should be notified that the full committee is aware of the situation and be provided with the name of a "safe harbor" in the case that the student believes her/his academic career is being negatively impacted by the outside relationship. See [Resources](#) for sample "safe harbor" language.
 - c. **Program Participation**: In any situation in which the disclosing employee has decision-making authority related to her/his University position (e.g., program acceptance, awards), the employee should disclose her/his dual relationship with the student and a neutral third party should review all University-related decisions the employee makes about the student.
3. In cases where the outside activity is unrelated to the employee's university research and professional activities and when a student is enrolled in a course being taught by the employee or the student's academic work is being supervised by the employee, then the plan should involve the provisions above depending on the nature and duration of the outside relationship (e.g., if a one-time, brief activity, then an on-going Management Plan may not be needed). Some colleges may implement stricter guidelines related to student involvement in UI employees' outside activities/interests, including different provisions for undergraduate and graduate students.
4. All Management Plans should communicate the employee's role in ensuring the integrity of the employee-student University relationship and establishing clear boundaries between the University-related relationship and the relationship developed via the outside activity. Plan should clarify the employee's responsibilities per the following University policies, including that he/she will not use University Resources (e.g., email, phone, website) in connection with the outside activity:
- a. Use of University Supplies [OM 11-17.17(1)]: <http://www.uiowa.edu/~our/opmanual/iii/17.htm#1717>
 - b. Usurpation of University Opportunities [OM 11-17.17(2)]: <http://www.uiowa.edu/~our/opmanual/iii/17.htm#1717>
 - c. Acceptable Use of Information Technology Resources (OM II-19): <http://www.uiowa.edu/~our/opmanual/ii/19.htm>
 - d. Use of University Name (OM II-33): <http://www.uiowa.edu/~our/opmanual/ii/33.htm>
 - e. University of Iowa Intellectual Property Policy (OM V-30): <http://www.uiowa.edu/~our/opmanual/v/30.htm>

- f. Ethics and Responsibilities for University of Iowa Staff (OM III-16):
<http://www.uiowa.edu/~our/opmanual/iii/16.htm>
- g. Faculty: Professional Ethics and Academic Responsibility (OM III-15):
<http://www.uiowa.edu/~our/opmanual/iii/15.htm>

F. Outside Activities or Interests Involving UI Employees

F. Disclosure Review Considerations

1. What is the relationship between the disclosing employee and the other employee – within the University and within the Outside Activity?
2. Are the employees connected via their UI positions anywhere within the supervisory line of authority?
3. Is the outside activity related to the UI position responsibilities of the disclosing employee?

F. COI-W Management Plan Considerations

1. If the employees are connected via a supervisory line of authority, then refer to the [Conflict of Interest in Employment \(Nepotism\)](#) policy for management.
2. If no supervisory relationship exists, clarify the employee's responsibilities to ensure that he/she will not use University Resources in connection with these outside activities. Inform employee of the following UI policies:
 - a. Use of University Supplies [OM 11-17.17(1)]:
<http://www.uiowa.edu/~our/opmanual/iii/17.htm#1717>
 - b. Usurpation of University Opportunities [OM 11-17.17(2)]:
<http://www.uiowa.edu/~our/opmanual/iii/17.htm#1717>
 - c. Acceptable Use of Information Technology Resources (OM II-19):
<http://www.uiowa.edu/~our/opmanual/ii/19.htm>
 - d. Use of University Name (OM II-33): <http://www.uiowa.edu/~our/opmanual/ii/33.htm>
 - e. University of Iowa Intellectual Property Policy (OM V-30):
<http://www.uiowa.edu/~our/opmanual/v/30.htm>
 - f. Ethics and Responsibilities for University of Iowa Staff (OM III-16):
<http://www.uiowa.edu/~our/opmanual/iii/16.htm>
 - g. Faculty: Professional Ethics and Academic Responsibility (OM III-15):
<http://www.uiowa.edu/~our/opmanual/iii/15.htm>

G. Other Personal Considerations

G. Disclosure Review Considerations

1. What is the nature of the disclosed consideration?
2. Is it related to the disclosing Employee's UI position responsibilities?
3. Is it already being managed under a different policy or consideration above?
4. How likely is the situation to pose or appear to pose a conflict, interfere with the employee's ability to fulfill her/his employment obligations, compromise her/his professional judgment, or result in personal gain for the employee or employee's immediate family?

G. COI-W Management Plan Considerations

1. The intervention will be tailored to the type of disclosure, consistent with the level of management described in the other sections in this document.
2. If it involves consulting in an area related to the employee's UI position, ensure that the employee understands that any consulting agreement he/she enters into with a company or

outside entity must not conflict with his/her obligations to the University. If the employee is a faculty member, provide: "[Information for University of Iowa Faculty on Outside Consulting Activities.](#)"

3. Clarify the employee's responsibilities to ensure that he/she will not use University Resources (e.g., email, phone, website) in connection with these outside activities. Inform employee of the following UI policies:
 - a. Use of University Supplies [OM 11-17.17(1)]:
<http://www.uiowa.edu/~our/opmanual/iii/17.htm#1717>
 - b. Usurpation of University Opportunities [OM 11-17.17(2)]:
<http://www.uiowa.edu/~our/opmanual/iii/17.htm#1717>
 - c. Acceptable Use of Information Technology Resources (OM II-19):
<http://www.uiowa.edu/~our/opmanual/ii/19.htm>
 - d. Use of University Name (OM II-33): <http://www.uiowa.edu/~our/opmanual/ii/33.htm>
 - e. University of Iowa Intellectual Property Policy (OM V-30):
<http://www.uiowa.edu/~our/opmanual/v/30.htm>
 - f. Ethics and Responsibilities for University of Iowa Staff (OM III-16):
<http://www.uiowa.edu/~our/opmanual/iii/16.htm>
 - g. Faculty: Professional Ethics and Academic Responsibility (OM III-15):
<http://www.uiowa.edu/~our/opmanual/iii/15.htm>

H. Conflict of Commitment (Faculty Effort)

H. Disclosure Review Considerations

1. Describe the external time and effort commitments, including start and end dates.
2. Does the time away require absence during "business days"?
3. Will the faculty/administrator miss any scheduled/assigned activities?
4. Will the faculty member be taking any type of leave (e.g., unpaid, vacation, if accrued)?
5. Has the faculty member made satisfactory arrangements to cover all university responsibilities during his or her absence?
6. Has the faculty member engaged in "outside professional activities" during the current appointment year in excess of nine business days per academic term (i.e., Fall, Spring, Summer)?
7. Does engaging in the professional activity advance the skills and abilities of the faculty member, with resultant benefit to the employing unit?
8. Will engaging in the activity be detrimental to the unit or university?
9. Is the faculty member in good standing and meeting expected standards of performance?
10. Does the activity interfere or have the appearance of interfering with the faculty member's assigned duties?

H. COI-W Management Plan Considerations

1. If requires absence during business days, the plan should identify how the faculty member will fulfill his/her university responsibilities including scheduled activities (e.g., classes, meetings, office hours), communication with the department, etc.
2. If leave will be used to eliminate the conflict, description of that arrangement.
3. Clarify the employee's responsibilities to ensure that he/she will not use University Resources (e.g., email, phone, website) in connection with these outside activities. Inform employee of

the following UI policies:

- a. Use of University Supplies [OM 11-17.17(1)]:
<http://www.uiowa.edu/~our/opmanual/iii/17.htm#1717>
- b. Usurpation of University Opportunities [OM 11-17.17(2)]:
<http://www.uiowa.edu/~our/opmanual/iii/17.htm#1717>
- c. Acceptable Use of Information Technology Resources (OM II-19):
<http://www.uiowa.edu/~our/opmanual/ii/19.htm>
- d. Use of University Name (OM II-33): <http://www.uiowa.edu/~our/opmanual/ii/33.htm>
- e. University of Iowa Intellectual Property Policy (OM V-30):
<http://www.uiowa.edu/~our/opmanual/v/30.htm>
- f. Ethics and Responsibilities for University of Iowa Staff (OM III-16):
<http://www.uiowa.edu/~our/opmanual/iii/16.htm>
- g. Faculty: Professional Ethics and Academic Responsibility (OM III-15):
<http://www.uiowa.edu/~our/opmanual/iii/15.htm>

IV. Resources

- [Relevant UI Policies and Resources](#) for Managing Conflicts of Interest in the Workplace
- [Management Plan Template](#)
- [Conflicts of Interest in the Workplace and eCOI – FAQ](#)

For more information about this Guide or the Conflicts of Interest in the Workplace policy, contact:

- For faculty-related questions:

Office of the Provost
111 Jessup Hall
Phone: 319.335.3991
Email: faculty@uiowa.edu

- For staff-related questions:

University Human Resources
121-10 University Services Building (USB)
Phone: 319-335-3553
Email: HR-Help@uiowa.edu

For information about addressing conflicts of interest in other aspects of the University (e.g., Research, Purchasing, Health Care, Employment), please consult with the respective policies and resources listed here: <http://provost.uiowa.edu/conflicts-commitment-and-interest-policies>

Relevant UI Policies and Resources for Managing Conflicts of Interest in the Workplace

- Acceptable Use of Information Technology Resources (OM II-19): <http://www.uiowa.edu/~our/opmanual/ii/19.htm>
- Conflict of Commitment (faculty effort) (OM II-18.4): <http://provost.uiowa.edu/conflict-commitment>
- Conflict of Interest in Employment (Nepotism) (OM III-8): <http://www.uiowa.edu/hr/administration/conflict.html>
- Conflict of Interest in Purchasing (OM V-11.14): <http://www.uiowa.edu/purchasing/policy/coi.htm>
- Conflict of Interest in Research (OM II-18.6): <http://coi.research.uiowa.edu/>
- Conflict of Interest in the Workplace (OM II-18.5): <http://provost.uiowa.edu/conflict-interest-workplace>
- Conflicts in Procurement and Public Contracts (Regents Policy Manual 7.08, section I): <http://www.regents.iowa.gov/Policies/Chapter%207/chapter7.08.htm>
- Consensual Relationship Involving Students (OM II-5): <http://www.uiowa.edu/~our/opmanual/ii/05.htm>
- Ethics and Responsibilities for University of Iowa Staff (OM III-16): <http://www.uiowa.edu/~our/opmanual/iii/16.htm>
- Faculty: Professional Ethics and Academic Responsibility (OM III-15): <http://www.uiowa.edu/~our/opmanual/iii/15.htm>
- Information for University of Iowa Faculty on Outside Consulting Activities, UI Office of the General Counsel: <http://provost.uiowa.edu/files/provost.uiowa.edu/files/consulting.pdf>
- Prohibition on Giving and Receiving Gifts (OM II-35): <http://www.uiowa.edu/~our/opmanual/ii/35.htm>
- Royalties from Course Materials policy [OM III-17.17(3)]: <http://www.uiowa.edu/~our/opmanual/iii/17.htm#1717>
- UI Conflict of Interest Policies: <http://provost.uiowa.edu/conflicts-commitment-and-interest-policies>
- UI Health Care Conflict of Interest and Conflict of Commitment Policy Regarding Interactions with Industry: <http://www.uihealthcare.org/ConflictofInterest/>
- University of Iowa Intellectual Property Policy (OM V-30): <http://www.uiowa.edu/~our/opmanual/v/30.htm>
- Use of University Name (OM II-33): <http://www.uiowa.edu/~our/opmanual/ii/33.htm>
- Use of University Supplies [OM III-17.17(1)]: <http://www.uiowa.edu/~our/opmanual/iii/17.htm#1717>
- Usurpation of University Opportunities [OM III-17.17(2)]: <http://www.uiowa.edu/~our/opmanual/iii/17.htm#1717>

For additional information, contact Diane Finnerty, UI Office of the Provost

Phone: 319.335.1991 or Email: diane-finnerty@uiowa.edu

Working document. Please provide feedback and direct questions to Diane Finnerty, Office of the Provost: diane-finnerty@uiowa.edu.

Updated March 25, 2014

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UI Conflicts of Commitment and Interest in the Workplace **Management Plan Template**

MANAGEMENT PLAN ELEMENTS

Written Management Plans must include:

- I. **Employee Information:** Name, UI Position, Department/Unit
- II. **Description** of the outside activity, interest, or relationship that creates an actual, potential, or perception of a conflict.
- III. **Management Plan Actions** for addressing the specific conflict. Please consult the [COI-W Reviewing and Management Considerations](#) document for guidelines.
- IV. **Statement of Understanding**
- V. **Administrative Approval:** DEO/Supervisor and Senior HR Leadership Representative (if staff)/Associate Dean for Faculty (if faculty).
- VI. **Employee Approval**, as indicated by her/his signature
- VII. **Notes** for Filing/Monitoring Plan

INSTRUCTIONS TO SENIOR HR LEADERSHIP REPRESENTATIVE/ASSOCIATE DEAN FOR FACULTY

1. Review referral email from Central Office, which will include an attached Disclosure Report and comments pertaining to the specific disclosure.
2. Conduct a second review of the Disclosure Report to determine if additional information known at the local level is relevant to the management of the disclosed activities/interests.
3. For disclosures identified centrally as a “Yellow” or “Red” category, review the [COI-W Management Plan Considerations](#) to determine what, if any, further action is needed.
4. If you determine that a Management Plan is needed, use the COI-W [Management Plan Template](#), in consultation with the Employee’s DEO/Supervisor, to develop a Management Plan. Attach additional sheets, as needed. Consult with the Relevant [UI Policies and Resources for Managing Conflicts of Interest in the Workplace](#) document for UI policies that might pertain to the situation.
5. Secure required signatures and provide the Dean/VP and the employee with a signed copy of the final Management Plan.
6. Keep a copy of the Management Plan in the employee’s ePersonnel File.
7. Inform Central Office that a Management Plan is on file and the date of employee signature.

For a fillable .pdf of the Management Plan template, see the Conflicts of Interest in the Workplace webpage (<http://provost.uiowa.edu/conflict-interest-workplace>).

UI Conflicts of Commitment and Interest in the Workplace
Management Plan Template

I. EMPLOYEE INFORMATION

Employee Name	UI Position/Title
Department	College/Division
Person Completing the Management Plan	UI Position/Title

II. DESCRIPTION of the relationship and/or interest that creates an actual, potential, or perceived conflict.

III. MANAGEMENT PLAN ACTIONS that will be taken to manage the situation, including reference to relevant UI policies.

IV. STATEMENT OF UNDERSTANDING: This Management Plan will be in effect until the activity/interest changes. If the relationship changes, the employee must complete a new Disclosure Report via the eCOI online disclosure system: <http://ecoi.uiowa.edu>.

V. ADMINISTRATIVE APPROVAL

Director or DEO Approval

Signature/Title

Date

Dean/VP Approval

Signature/Title

Date

VI. EMPLOYEE ACKNOWLEDGEMENT

I agree to abide by the agreements of this Management Plan.

Signature/Title

Date

VII. NOTES

- A signed copy of this Management Plan must be distributed to the relevant parties and placed in the Employee's personnel file.
- Next review of this Management Plan will be no later than _____ (one year from date of Employee signature), or earlier if the situation changes.

For a fillable .pdf of the Management Plan template, see the
Conflicts of Interest in the Workplace webpage (<http://provost.uiowa.edu/conflict-interest-workplace>).

Information about additional UI Conflicts of Commitment and Interest Policies can be found online:
<http://provost.uiowa.edu/conflicts-commitment-and-interest-policies>

The University of Iowa
Conflicts of Interest in the Workplace and eCOI Disclosure System
~ Frequently Asked Questions (FAQs) ~

INTRODUCTION

The following FAQs pertain to **Conflicts of Interest in the Workplace** ([OM II-18.5](#)) and the **eCOI online disclosure system** (<http://ecoi.uiowa.edu>). For information about other forms of conflicts of interest and related policies and procedures, please see the "[Conflict of Commitment and Interest Policies at The University of Iowa.](#)"

DEFINITIONS – CONFLICTS OF INTEREST IN THE WORKPLACE

- [What is a Conflict of Interest in the Workplace?](#)
- [How is a Conflict of Interest in the Workplace \(COI-W\) different than a Conflict of Interest in Employment \(COI-E\)?](#)
- [How does the "Conflict of Interest in the Workplace" interact with other "conflict of interest" policies?](#)

eCOI ONLINE DISCLOSURE SYSTEM

- [What is the eCOI online disclosure system?](#)
- [Who is required to complete an "Annual Disclosure of Outside Professional Activities and Interests"?](#)
- [Do I have to complete an "Annual Disclosure of Outside Professional Activities and Interests" if I have nothing to disclose?](#)

OUTSIDE PROFESSIONAL ACTIVITIES (OPA)

- [Do I need to disclose "outside professional activities" in which I engaged as part of my UI position?](#)
- [I was just elected as president of my professional association. Do I need to disclose that type of "outside professional activity"?](#)
- [What is meant by a "Business Day" on the Disclosure Report?](#)
- [I gave an invited talk at a professional conference and was paid a small honorarium. Do I need to disclose that as an outside professional activity?](#)

FINANCIAL INTERESTS

- [The eCOI form asks about "Stock, Stock Options, and Other Ownership Interests" related to my University responsibilities. Do I need to disclose financial investments in a mutual fund portfolio?](#)
- [The eCOI form asks about "Stock, Stock Options, and Other Ownership Interests" related to my University responsibilities. Do I need to disclose investments that I own that are unrelated to my University position?](#)
- [Why is "Family Member Compensation" asked about?](#)
- [The eCOI Disclosure Report asks about "Licensing/Royalty Income." Does that really mean I should disclose royalties related to all of my publications? Some of the royalties don't even exceed \\$100 per year.](#)

OTHER CONSIDERATIONS

- [What is meant by “Other Considerations?” What kinds of things should be disclosed?](#)
- [Do I need to disclose a situation that is already being managed under a different policy \(e.g., the Conflict of Interest in Employment \(Nepotism\) policy\)?](#)

DISCLOSURE AND REVIEW PROCESS

- [Who reviews my online disclosure to determine whether a conflict exists and should be managed?](#)
- [Why do I have to disclose whether the income was less or in excess of \\$5,000?](#)
- [Is the information I disclose kept confidential?](#)
- [What is a Management Plan?](#)
- [What if I don’t agree with the content of a Management Plan?](#)
- [I see that the Annual Disclosure period is February 3 through April 30. What if I have a new outside interest arise in August? Should I wait until the next February to disclose it?](#)
- [What if an employee does not disclose a situation that poses an actual or potential conflict of interest?](#)

FOR ADDITIONAL INFORMATION

- [I still have questions, where can I go for additional information?](#)

DEFINITIONS – CONFLICTS OF INTEREST IN THE WORKPLACE

What is a Conflict of Interest in the Workplace? Conflicts of interest in the workplace involve situations in which UI employees have financial interests and/or other personal considerations with a non-university entity that may compromise, or have the appearance of compromising, their professional judgment in performing their University duties (e.g., teaching, business decision-making).

How is a Conflict of Interest in the Workplace (COI-W) different than a Conflict of Interest in Employment (COI-E)? The COI-Workplace policy pertains to a range of “University duties,” whereas the Conflict of Interest in Employment policy safeguards one specific university duty: supervision of employees. The COI-Employment policy is designed to ensure that a current or former relationship outside the work setting (e.g., familial, romantic, intense personal, or significant business relationship) does not interfere with a supervisor’s decisions or recommendations related to the employment status of another UI employee (e.g., hiring, salary, working conditions, working responsibilities, evaluation, promotion, termination). Because of the importance of safeguarding the supervisory relationship, COI-Employment disclosures are reviewed by University Human Resources and the Office of the Provost, with support from the Committee on the Conflict of Interest in Employment appointed by the Faculty Senate and Staff Council. For more information, see: <http://www.uiowa.edu/~our/opmanual/iii/08.htm>

How does the “Conflict of Interest in the Workplace” interact with other “conflict of interest” policies?

Given the breadth of activities conducted within the University enterprise, several unique policies ensure the integrity of other aspects of the enterprise (e.g., health care, research, purchasing). Various policies and procedures address key concerns of their respective domains (for more information, please see the “[Conflict of Commitment and Interest Policies at The University of Iowa](#)” webpage). It is important to note that one outside interest (e.g., financial investment in a company that is interested in doing business with one’s unit) may require review and management by several offices overseeing the various policies.

eCOI ONLINE DISCLOSURE SYSTEM

What is the eCOI online disclosure system? The eCOI online disclosure system provides a common portal for UI employees to fulfill the disclosure requirements of the following UI policies:

- Policy on [Conflicts of Interest in Research](#),
- Policy on [Conflicts of Interest in the Workplace](#),
- Policy on [Conflicts of Commitment](#),
- [UI Health Care Conflicts of Interest Policy](#), and
- [Accreditation requirements for Continuing Medical Education](#).

Who is required to complete an “Annual Disclosure of Outside Professional Activities and Interests”?

The following UI employees are required by policy to complete an “Annual Disclosure of Outside Professional Activities and Interests”:

- 1) All UI researchers who are identified as “key personnel” on a UI routing form submitted to Sponsored Programs or an IRB application.
- 2) All UI Health Care employees with 50% or greater appointments, including faculty, P&S and SEIU staff, and Merit Exempt employees.
- 3) Faculty and Staff members with 50% or greater appointments in the following categories:
 - a. Regular Faculty (tenure-track, tenured, clinical-track, research-track),
 - b. P&S compensated at Pay Levels 7 and above, and
 - c. Executive Classifications (e.g., President, Provost, Vice Presidents), and
 - d. Administrators with Faculty Appointments (e.g., Deans, Associate Provosts, Directors).

Do I have to complete an “Annual Disclosure of Outside Professional Activities and Interests” if I have nothing to disclose? Yes, if you are required by policy to complete an Annual Disclosure, you must log into the system, indicate you have nothing to disclose, and certify that you agree to abide by the relevant conflicts of interest policies. In fact, the vast majority of UI employees have no relevant outside activities and interests to disclose, so completing the Annual Disclosure and Annual Certification will take less than five minutes. Employees with activities and interests to disclose will be asked to complete a “Disclosure” so that the interest/activity can be reviewed and managed, if appropriate

OUTSIDE PROFESSIONAL ACTIVITIES (OPA)

Do I need to disclose “outside professional activities” in which I engage as part of my UI position? The answer is “it depends,” based on your role at the UI and the policies governing that position. The eCOI system recognizes your employee status upon log in and will present you with the set of questions required per your position. The eCOI form will instruct you about which “outside professional activities” you are required to disclose and which you are not.

I was just elected as president of my professional association. Do I need to disclose that type of “outside professional activity”? Service in one’s professional associations is *typically* considered an expected part of many UI employees’ job responsibilities and/or portfolio. These types of activities do not need to be disclosed on the eCOI disclosure form, *unless* you are a faculty or staff member engaged in research funded by the U.S. Public Health Service (PHS). Conflicts of Interest in Research (COI-R) are monitored per federal regulations and, if your research is funded by the PHS, activities with all non-profit entities related to your University responsibilities, including professional associations, must be disclosed. Please see <http://coi.research.uiowa.edu/> for additional information about COI-Research.

What is meant by a “Business Day” on the Disclosure Report? The Conflict of Commitment policy defines “business day” as “every Monday through Friday during regular business hours and time on any Saturday, Sunday, or evening when a faculty member is scheduled to work, but does not include any University holiday or day that the faculty member takes a vacation day or sick leave.” While this is being used as a general unit of measurement, it is acknowledged that much faculty work is conducted outside of the traditional business day and often outside of the office (e.g., course preparation, writing and other forms of research/scholarship), which is taken into consideration when reviewing faculty members’ outside professional activities.

I gave an invited talk at a professional conference and was paid a small honorarium. Do I need to disclose that as an outside professional activity? The answer is “it depends” based on your role at the UI and the policies governing that position. The eCOI system recognizes your employee status upon log-in and will present you with the set of questions required for your position.

FINANCIAL INTERESTS

The eCOI form asks about “Stock, Stock Options, and Other Ownership Interests” related to my University responsibilities. Do I need to disclose financial investments in a mutual fund portfolio? No, income from investment vehicles, such as mutual funds and retirement accounts, does not need to be disclosed as long as the employee does not directly control the investment decisions made in these vehicles.

The eCOI form asks about “Stock, Stock Options, and Other Ownership Interests” related to my University responsibilities. Do I need to disclose investments that I own that are unrelated to my University position? No, investments that have nothing to do with your University responsibilities do not need to be disclosed. Only those investments that may pose or have the appearance of posing a conflict of interest with the fulfillment of some part of your University responsibilities or same field of expertise as your job at the University as described below.

Why is “Family Member Compensation” asked about? The COI-Workplace policy safeguards against an employee’s outside interests and activities compromising, or having the appearance of compromising, your professional judgment in performing your University duties. If an immediate family member (i.e., spouse/domestic partner, dependent child) could potentially benefit from a decision that you make in your UI role, then it could have the potential to impact your decision-making process, or have the appearance of impacting your process. A Management Plan can address the situation to eliminate the conflict and/or appearance of a conflict.

The eCOI Disclosure Report asks about “Licensing/Royalty Income.” Does that really mean I should disclose royalties related to all of my publications? Some of the royalties don’t even exceed \$100 per year. Royalties from works published in scholarly journals or academic presses should be disclosed, but can be disclosed in aggregate form (e.g., enter “Book royalties” in the “Entity” field, rather than the name of each individual academic publishing house). For other licensing/royalty income (e.g., patents on technologies and inventions, copyrighted software), the actual Entity should be identified and information disclosed. Please also see the *Operations Manual* policy regarding profiting financial from [Royalties from Course Materials](#) [17.17(3)].

Why do I have to disclose whether the income was \$5,000 or less or greater than \$5,000? The federal guidelines governing conflicts of interest in research identify greater than \$5,000 as a “significant financial interest.” All employees completing an eCOI Disclosure Report are asked information about the dollar amount of the outside interest. Due to policy requirements, researchers and UI Health Care employees must specify exact dollar amount; all others must only specify whether the amount was \$5,000 or less or greater than \$5,000.

OTHER CONSIDERATIONS

What is meant by “Other Considerations?” What kinds of things should be disclosed? The Conflicts of interest in the workplace policy involve “situations in which UI employees have financial interests and/or have *other personal considerations* with a non-university entity that may compromise, or have the appearance of compromising, their professional judgment in performing their University duties.” Sometimes these outside interests are non-financial and unrelated to one’s university position, but still have the potential to interfere with one’s professional judgment. For example, a professor who employs a student to design a brochure for an outside business or to babysit his/her children. If you have questions whether something should be disclosed as an “other consideration”, please consult with your Senior HR Leadership Representative, if staff, or your Associate Dean for Faculty, if faculty)

Do I need to disclose a situation that is already being managed under a different policy (e.g., the Conflict of Interest in Employment (Nepotism) policy)? You have the option of disclosing this situation via the eCOI form and stating that it is being managed. Given that the situation has been previously disclosed to a different office and is currently being managed, this is not necessary.

DISCLOSURE AND REVIEW PROCESS

Working document. Please provide feedback and direct questions to Diane Finnerty, Office of the Provost: diane-finnerty@uiowa.edu.

Updated March 25, 2014

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Who reviews my online disclosure to determine whether a conflict exists and should be managed?

Given activities conducted in fulfillment of the University's mission, unique conflict of interest policies govern key areas of the University enterprise. Since UI employees play multiple roles on campus, your disclosure will be reviewed by the respective offices to fulfill federal, state, and institutional requirements. For example, if you are a researcher on campus, your disclosure will be reviewed by the Conflicts of Interest in Research office to ensure that your outside professional activities and interests does not bias your research or compromise, or give the appearance of compromising, your judgment as an investigator. The online eCOI disclosure system provides a consolidated portal for employees to disclose once for use by multiple offices. For more information about related UI conflicts of interest policies and procedures, please see <http://provost.uiowa.edu/conflicts-commitment-and-interest-policies>.

Is the information I disclose kept confidential? The answer to what happens with the information disclosed in your eCOI Disclosure Reports differs based on the policies governing your role at the University. For example, if you are a UI Health Care employee, the UI Health Care Conflict of Interest and Commitment policy requires that information from Disclosure Reports submitted by Health Care employees is published in a publicly accessible online database at <https://www.healthcare.uiowa.edu/UIHCPortal/coi.aspx>. The information that is published from the Disclosure Report is the Entity Name, the employee's relationship with the entity, and the amount of compensation received (shown in a range). If you are a researcher who has funding under the PHS and you have been determined to have a financial conflict of interest related to that research, federal regulations require that the information about your conflict of interest be publicly accessible. The Conflict of Interest in Research Office will make available to the public upon request information concerning the financial interest. For all disclosures, the information will only be shared on a need-to-know basis and as required by state law.

What is a Management Plan? A Management Plan is an approved written document that details provisions that will be put into place to eliminate any real, potential, and/or perceived conflicts of interest that may arise between fulfillment of one's University responsibilities and one's outside interests and/or activities. Management plan actions may include nothing beyond documentation of disclosure, informing employee about relevant UI policies governing use of University resources or consulting activities, strategies to eliminate the conflictual elements of the activity (e.g., recusal from pertinent decisions, changed reporting structure), and/or in rare cases, prohibition of the activity. Approved Management Plans developed per the Conflicts of Interest in the Workplace policy are kept on file in the college/division and in an employee's personnel file, and reviewed on at least an annual basis.

What if I don't agree with the content of a Management Plan? If an employee wishes to dispute a proposed management plan created under the Conflicts of Interest in the Workplace, the governing procedures for faculty are the Faculty Dispute Procedures ([III-29](#)) and that portion of those procedures dealing with faculty grievances ([III-29.6](#)). Staff and student employees, including graduate assistants, may appeal through Administrative Review ([III-28.2](#)). Disputes related to Management Plans created under other policies can be made per the dispute proceedings listed in the respective policies (e.g., concerns about Research management plans may be made with the Office of the Vice President for

Research and Economic Development; for UI Health Care, with the Office of the Vice President for Medical Affairs).

I see that the Annual Disclosure period is February 3 through April 30. What if I have a new outside interest arise in August? Should I wait until the next February to disclose it? The eCOI online disclosure record is available to you to update throughout the year. The interest should be reported as soon as it arises. New employees should be informed of the annual disclosure requirement and complete their initial disclosure using the eCOI online disclosure system shortly after starting employment.

What if an employee does not disclose a situation that poses an actual or potential conflict of interest? There are several reasons why an employee may not disclose an actual or potential conflict of interest (e.g., the situation changed recently, it was not thought to be a conflict). The existence of a conflict of interest is not always clear-cut. University employees are expected to make a reasonable effort to disclose relevant outside activities and interests and, when uncertain, they should consult with the relevant Conflict of Interest office (<http://provost.uiowa.edu/conflicts-commitment-and-interest-policies>). The COI-Workplace policy further states that failure to disclose a conflict and/or comply with required management strategies constitutes a violation of University policy and may also violate state and federal law. Employees may be subject to sanctions for violation of this policy, including disciplinary action up to and including termination of employment.

FOR ADDITIONAL INFORMATION

I still have questions, where can I go for additional information? For further information about the Conflict of Interest in the Workplace policy and/or information about other Conflicts of Interest and Commitment policies and procedures, please see the respective offices listed here:

<http://provost.uiowa.edu/conflicts-commitment-and-interest-policies>

- **Faculty-related Questions:** Diane Finnerty, Office of the Provost, 335-3991 or email: faculty@uiowa.edu. Website: <http://provost.uiowa.edu/conflicts-commitment-and-interest>,
- **Research-related Questions:** Charlotte Talman, 335-8892, or Martha Hedberg, 384-4256, Conflict of Interest in Research Office, or email: coi-research@uiowa.edu. Website: <http://coi.research.uiowa.edu/>,
- **UI Health Care Questions:** UI Health Care Conflict of Interest Office at 384-5252 or e-mail: coi@healthcare.uiowa.edu. Website: <http://www.uihealthcare.org/ConflictofInterest/>,
- **Staff and Executive Questions:** Judie Hermsen, University Human Resources, 335-3553 or email: HR-help@uiowa.edu. Website: <http://provost.uiowa.edu/conflicts-commitment-and-interest>, and
- **Continuing Medical Education Questions:** Division of Continuing Medical Education, 335-8599. Website: <http://www.medicine.uiowa.edu/cme>.