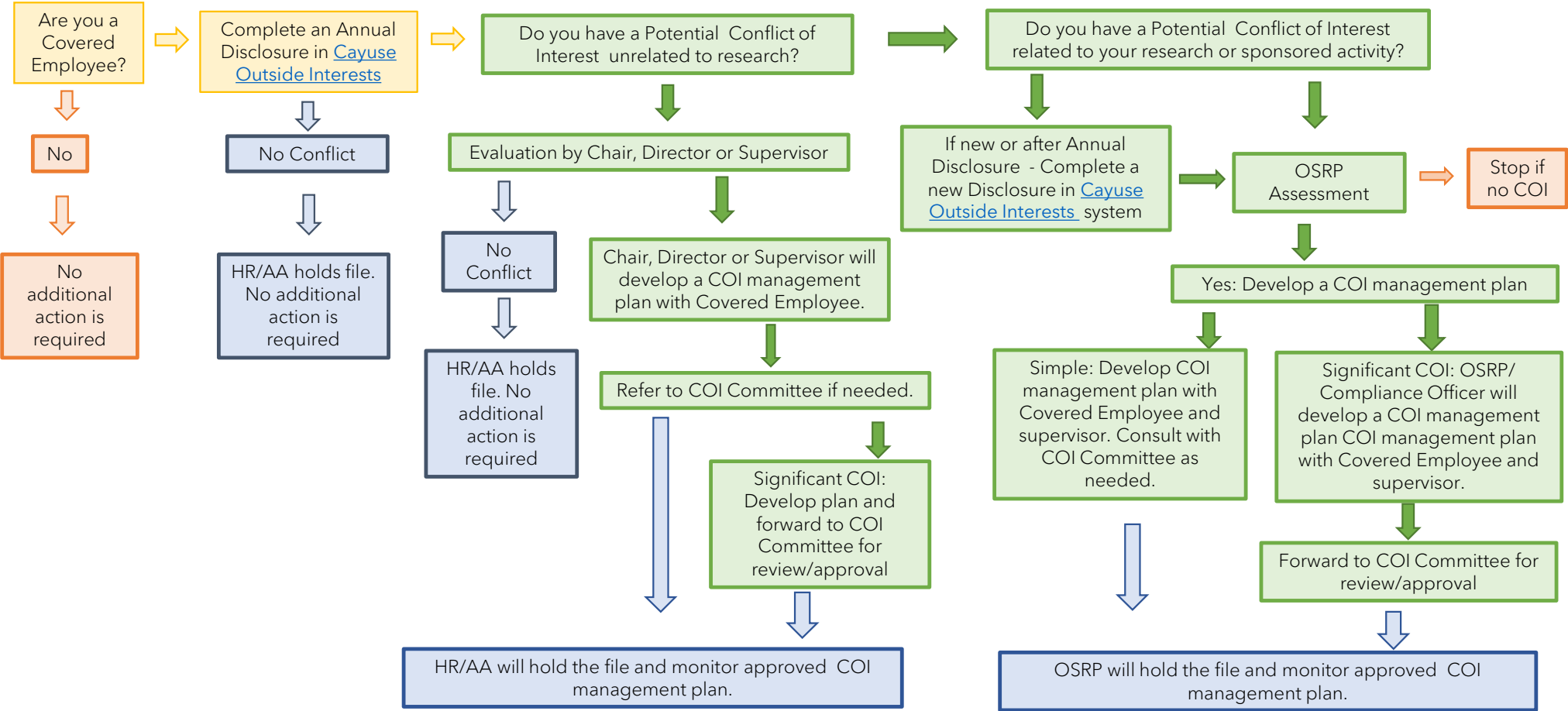


Conflict of Interest Decision Tree



Conflict of Interest

The term "Conflict of Interest" refers to situations in which financial or other personal considerations, circumstances or relationships may compromise, may involve the potential for compromising, or may have the appearance of compromising a Covered Employee's objectivity in carrying out his or her University duties or responsibilities.

The bias that such conflicts can cause may adversely affect many University responsibilities, including, but not limited to, decisions about University personnel, the purchase of equipment and supplies, the selection of contractors and vendors, the selection of instructional material for classroom use, the mentoring of students and assessment of their work, and the design, conduct, or reporting of research.

A Covered Employee may have a conflict of interest when he or she, or any member of his or her immediate family, possesses a significant financial interest in an activity that involves his or her employment responsibilities. While a conflict of interest may result from a relationship, participation in an activity, or other nonfinancial interests, the majority of conflicts of interest result from a financial interest of a Covered Employee who is in a position to make a supervisory, academic, or administrative decision which may be compromised because of the potential for personal financial gain.

The following are examples of situations that create some degree of conflicts of interest. Some of these conflicts can be managed with an appropriate management plan while others are impermissible under UNCP policy. These relationships and activities should be disclosed in annual conflict of interest disclosures and project specific disclosures when applicable.

If you're submitting a proposal for extramural support (grants and contracts) your project disclosures must include all financial resources, whether Federal, non-Federal, commercial or institutional, available in direct support of your research endeavors, including but not limited to research grants, cooperative agreements, contracts, and/or institutional awards. Training awards, prizes, or gifts do not need to be included.

1. External Professional Activities for Pay: Any secondary employment that is related to your professional responsibilities at the university. Examples would include: private consulting, serving on a board of directors, speaking engagement, etc. These disclosures go to the departmental supervisor for review and approval. All activities should be disclosed in the annual review process.
2. Publicly Traded Companies: Ownership of stock, options, etc. from any entity during the preceding 12 months, for you and your family members that appears to be related to your institutional responsibilities. ***Note that investments in which you do not directly control investment decisions, such as mutual funds or retirement accounts, do not need to be disclosed.
3. Privately Held or Nonprofit Companies: Any ownership or equity interest from any entity whose stock is not publicly traded, by you and your family members that appears to be related to your institutional responsibilities.
4. Intellectual Property Rights: Intellectual Property (IP) in which you or your family members, have an existing or proposed licensing interest, or IP rights held (or in negotiation) for a pending or issued patent in which you or your family members are listed as inventors. *** Excluding IP held by UNCP.
5. External Roles: Paid or unpaid positions of influence, by you or your family members, with an entity in which the interests of the entity appear related to your institutional responsibilities.
6. Student Involvement (PIs only): Situations in which an activity could create a potential conflict of interest or commitment with respect to a faculty member's mentorship responsibility.
7. Sponsored Travel (PHS only): Any reimbursed or sponsored travel whose aggregate value paid or reimbursed by any single entity meets or exceeds \$5,000 in the prior twelve months, except travel that is reimbursed or sponsored by a Federal, state, or local government agency, an institution of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education.
8. Authorship: Paid authorship from any entity over the past 12 months.