

## Guidance on Conflict Management Mechanisms for Unit Executive Officers

The [\*Policy on Outside Activities and Conflicts of Commitment and Interest\*](#) requires that conflicts of commitment and interest must be managed or eliminated. The Unit Executive Officer is responsible for managing actual and potential conflicts of commitment and/or interest.

- Documentation of department conflict management plan **must** be uploaded to the RNUA of the conflicted Covered Individual or included as comments on the RNUA.
- This guide provides suggested management mechanisms to address areas of conflict. Each situation is unique and may require management mechanisms not outlined here. Please consult your COI office for additional guidance.
  - Chicago: [coi@uic.edu](mailto:coi@uic.edu), 312-996-4995
  - Springfield: [coi@uis.edu](mailto:coi@uis.edu), 217-206-7409
  - Urbana-Champaign: [coi@illinois.edu](mailto:coi@illinois.edu), 217-333-0034
  - System: please contact the COI office of the university at which you are located

Below are examples of statements/management plans to be used in the comments or added as an attachment to the RNUA. These should be modified as needed.

**When activities trigger the requirement RNUA Terms & Conditions (i.e. an activity is “significant”) but the UEO determines there are no conflicts of commitment or interest.**

In accordance with University of Illinois Policy on Outside Activities and Conflicts of Commitment and Interest, I have evaluated the reported activity(-ies) with respect to the Covered Individual’s University duties and responsibilities, as well as the Covered Individual’s University research portfolio. In my evaluation, the activity (-ies) does not present a conflict of commitment or interest. The department will continue to monitor the reported activity and if any changes occur during the academic year, the Covered Individual will be asked to submit a new RNUA.

**When activities trigger the requirement RNUA Terms & Conditions and the UEO determines there are or may be conflicts of commitment or interest.**

In accordance with University of Illinois Policy on Outside Activities and Conflicts of Commitment and Interest, I have evaluated the reported activity (-ies) and determined that it may present or presents a conflict of interest or conflict of committee.

The department will implement the following to manage the conflict:

[List the appropriate mechanisms. Suggestions for common conflicts are below.]

Area of Conflict	Possible Management Mechanism Statements	
<p><b>Time Commitment</b></p> <p>Please consider the duties and responsibilities of the Covered Individual when reviewing a request for time to be spent on Outside Activities, or non-University activities.</p> <p><i>In general</i>, during a Covered Individual’s contract period, one day per seven-day week spent on a non-University activity does not present a conflict of commitment.</p> <p>One day per seven-day week may be too much; more than one day per seven-day week may be acceptable.</p>		
	Days Spent on an activity exceeds the Days Requested in previous academic year (AY)	<ul style="list-style-type: none"> <li>• I’ve reminded the Covered Individual to update RNUA throughout year to request more time as needed.</li> </ul>
	Days Requested for current AY is “high”	<ul style="list-style-type: none"> <li>• I’ve asked the Covered Individual to spend less time on activity and revise and resubmit the RNUA.</li> <li>• I approve this activity with the stated time request, but I will re-evaluate the time requested commitment with the Covered Individual in # months.</li> <li>• I approve this activity with the stated time request with condition that the Covered Individual will submit a work plan for a specific period of time (e.g. every 2 weeks) for review and approval.</li> </ul>
<p><b>Involvement of other University persons</b></p> <p>Covered Individuals may choose to involve other University persons in their non-University activities. While the activity may be beneficial for all, the academic progress of students or the productivity and work environment of staff could be negatively affected.</p>		

	Other staff are involved	<ul style="list-style-type: none"> <li>• <i>If reporting line exists between discloser and other staff:</i> <ul style="list-style-type: none"> <li>○ I've identified a non-conflicted senior person, [insert name], to whom the employee can voice Concerns.</li> </ul> </li> </ul>
	Students are involved	<ul style="list-style-type: none"> <li>• I appointed a co-advisor, [insert name], for the affected students.</li> <li>• I designated the departmental Director of Graduate Studies as an ombudsperson.</li> <li>• <i>If the student is working on research sponsored by a Covered Individual's company:</i> <ul style="list-style-type: none"> <li>○ I've ensured that the student has been notified by the Covered Individual of the interest in the Company.</li> </ul> </li> </ul>
<b>Use of University Resources</b>		
	University intellectual property	<ul style="list-style-type: none"> <li>• I've confirmed that the appropriate license or option agreement is in place with the Office of Technology Management (OTM).</li> <li>• I've reminded the Covered Individual to properly disclose intellectual property in which the University may have an interest to OTM.</li> </ul>
	University resources (e.g. space, equipment)	<ul style="list-style-type: none"> <li>• I've confirmed that appropriate agreement (e.g. facilities use agreement, technical testing agreement) to use [name resource] has been executed.</li> </ul>
<b>The Covered Individual's role with the entity involves:</b>		
<b>Teaching</b>		<ul style="list-style-type: none"> <li>• I've confirmed that the teaching is for a limited, defined period of time.</li> </ul>

		<ul style="list-style-type: none"> <li>• I've confirmed that the employee is listed as "visiting" by the other institution.</li> <li>• <i>At UIUC, teaching by tenure-track faculty must be approved by the Provost's office. Attach documentation, e.g. email, of the Approval.</i></li> </ul>
<b>Consulting</b>	And the entity sponsors research at the University	<ul style="list-style-type: none"> <li>• I have notified the Covered Individual that the company cannot have access to data before publication. This term has been included in the sponsored research agreement.</li> <li>• I've confirmed that staff and students in the research group are notified of the Covered Individual's interest in the company sponsoring the research.</li> </ul>
	And the entity-sponsored research at the University involves human subjects	<ul style="list-style-type: none"> <li>• I've confirmed that human subjects are informed of employee's financial interest with the study sponsor.</li> </ul>
<b>Ownership interest and/or fiduciary duty</b>		<ul style="list-style-type: none"> <li>• I've confirmed that departmental business staff have been notified of the Covered Individual's ownership interest.</li> </ul>
	And the entity sponsor research at the University	<ul style="list-style-type: none"> <li>• I have notified the Covered Individual that the company cannot have access to data before publication. This term has been included in the sponsored research agreement.</li> <li>• I've confirmed that staff and students in the research group are notified of the Covered Individual's interest in the company sponsoring the research.</li> </ul>

	And the entity-sponsored research at the University involves human subjects	<ul style="list-style-type: none"> <li>• I've confirmed that human subjects are informed of employee's financial interest with the study sponsor.</li> </ul>
<b>Conducting research at the entity</b>	<ul style="list-style-type: none"> <li>• I've determined that it is appropriate for the research activity to take place outside the University.</li> <li>• I've notified the Covered Individual that University resources cannot be used in the non-University research unless the entity and the University execute the appropriate agreement.</li> <li>• <i>Caution: If a Covered Individual's University responsibilities include research, it may be very difficult to separate research activities at the entity.</i></li> </ul>	
<b>Political activity</b> , e.g. running for office, serving as councilperson	<ul style="list-style-type: none"> <li>• I've reminded the Covered Individual that University resources, including email, cannot be used for political purposes</li> </ul>	