



SECTION: HUMAN RESOURCES

AREA: EMPLOYEE RELATIONS

SUBJECT: CONFLICT OF INTEREST FOR NON-ACADEMIC STAFF

Purpose

The University of Arkansas for Medical Sciences (UAMS) is committed to protecting the scholarly record and the university mission (research, teaching, service and patient care) in an ethical environment. The following policy establishes systems that will enable elimination or management of potential conflicts of interest among UAMS employees and staff.

Scope

All full time and part time employees. Conflict of Interest among full time academic staff members is governed by policy UAMS Administrative Guide Policy 4.4.10.

Policy

All UAMS employees hold positions of trust and must conduct their UAMS activities accordingly. Activities that impair or appear to impair the ability to perform one's duties or affect independent and objective judgment in the performance of one's responsibilities to UAMS must be avoided.

Conflicts of Interest: A conflict of interest exists when an individual has an outside interest that affects or provides an incentive to affect the individual's conduct of his or her UAMS activities. Conflicts of interest can arise naturally from an individual's engagement with the world outside of UAMS, and the mere existence of a conflict of interest does not necessarily imply wrongdoing. When conflicts of interest do arise, however, they must be recognized, disclosed and either eliminated or appropriately managed.

An individual's outside interests include his or her interest in obtaining, maintaining or increasing the value of relationships such as employment, independent contractor or consultant; management positions, board memberships and other fiduciary relationships with outside organizations; ownership of stock or other securities and other financial interests such as loans or royalties; and any other activity from which the individual receives or expects to receive remuneration. They also include such interests on the part of the individual's spouse and his or her financially dependent children.

Activities Related to Immediate Family Members: An employee may not participate in the hiring process or any employment-related decisions pertaining to a Family Member. Likewise, an employee may not be in a position to supervise a Family Member as an employee of UAMS or otherwise review or participate in reviewing a Family Member's work as an employee of the UAMS.

Research and Healthcare Activities: An employee may not review, approve or administratively control contracts, grants, clinical trials, or other business relationships when such contract, grant, clinical trial, or other business relationship pertains to activities involving UAMS and a Business in which the employee or a Family Member has any financial interest or when the employee or Family Member is an employee of the Business and directly involved with activities pertaining to the UAMS activities.

Conflicts of Interest in Research and the provision of patient care involve situations in which financial, professional, or other personal considerations may compromise, or have the appearance of compromising, an individual's judgment in the provision of patient care or the conduct or reporting of Research. The bias which may result from such conflicts may impact not only on the collection, analysis and interpretation of data, but also on the hiring of staff, procurement of materials, clinical referrals, sharing of results, choice of protocol, the use of statistical methods, the use of human participants or otherwise influencing the provision of patient care or the course of a Sponsored Research project.

DEFINITIONS:

Family or Family Member: Spouse, children, stepchildren, parents, siblings, and domestic partners (individuals not related by blood, not legally married, but currently in a committed relationship and residing in a common household sharing joint responsibility for the household).

Business Relationships: In general, when employee or their immediate family members are involved in Business ventures as owner, operator, a major investor or as an Executive Officer.

Gifts: Are defined in the UAMS gift policy and include anything of monetary value from meals and travel to promotional items such as pens, coffee mugs and note pads.

Healthcare Industry: The healthcare industry includes the development, manufacture, supply and delivery of health products or services. Entities in healthcare industry include, but are not limited to, pharmaceutical and medical devices, medical supply, patient transportation and ambulance services, hospitals, laboratories, radiology and medical imaging, and physician and nursing services.

DISCLOSURE AND REVIEW PROCEDURES

Disclosure: All contracts with or any financial interests in entities in the healthcare industry or entities that contract with (includes employment), are otherwise engaged in business with or seek to do business with UAMS, must be disclosed annually, using Conflict of Interest disclosure form (Appendix I).

Conflict of Interest Committees: The Hospital Conflict of Interest Committee (HCOIC) shall be appointed by the Vice Chancellor for Clinical Programs and shall be a standing committee of UAMS. The Chair shall be appointed by the Vice Chancellor for Clinical Programs, and the Committee shall meet regularly in order to act in a timely fashion. The Hospital Conflict of Interest Committee shall review disclosures for possible conflict and shall advise appropriate officials on the management of the situations using the HCOIC standard operating procedures. The Committee shall also publish and periodically revise concrete guidelines to assist hospital employees.

The UAMS Conflict of Interest Committee (UCOIC) shall be appointed as follows: the Deans of the College of Medicine, College of Nursing, College of Pharmacy, College of Health Related Professions, College of Public Health, the Graduate School, and the Vice Chancellor of Finance & CFO shall each appoint one member to the Committee which shall be a standing committee of UAMS. The Chair shall be appointed by the Chancellor, and the Committee shall meet regularly in order to act in a timely fashion. The UAMS Conflict of Interest Committee shall review disclosures for possible conflict and shall advise appropriate campus officials on the management of the situations using the UCOIC standard operating procedures.

Special Circumstances: Arkansas state law provides certain exemptions from prohibitions on activities of state employees that encourage facilitation of commercialization of university-generated technology or discovery. Business Incubators: Faculty or staff of state supported institutions of higher education may participate in business incubators within the state. This exemption includes companies in which faculty or staff may have an ownership interest. These exemptions from the state ethics law do not necessarily exempt an individual from any restrictions imposed by UAMS policy. In particular, UAMS policy requires full disclosure through the mechanism outlined in this document.

Campus Committees: All campus committees must be mindful of potential conflicts of interest and must incorporate disclosure of potential conflicts of interest of committee members at the start of each committee meeting.

ADMINISTRATIVE ACTIONS, PENALTIES, AND APPEALS

Administrative Sanctions: Failure to disclose conflicts of interest in an appropriate and timely manner or failure to comply with procedures to resolve conflicts of interest as

recommended by the Conflict of Interest Committee shall result in administrative sanctions. Additional administrative action may include oral admonishment, written reprimand, reassignment, demotion, suspension, or dismissal.

Appeal: Appeal of any determination by a Responsible Administrator may be made to the next higher level or to the Conflict of Interest Committee. Appeal of sanctions determined as above may be made to the Chancellor, in accordance with the UAMS Grievance Procedure. The decision made by the Chancellor will be final and binding and shall not be subject to further appeal.

SIGNATURE: _____ **DATE:** _____

Appendix I

DISCLOSURE FORM

YOUR NAME (Please Print)	SAP ID Number
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Within the past 12 months I, or someone in my immediate family have/has had a financial relationship with the following entities in the healthcare industry:

Name of Entity	Nature of the Financial Relationship

Within the past 12 months I, or someone in my immediate family have/has had a financial relationship with the following entities which are doing business with or seek to do business with UAMS:

Name of Entity	Nature of the Financial Relationship

ATTESTATION SIGNATURE		DATE	
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