

# UAS Conflict of Interest Policy

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## **Policy**

The University of Alaska Southeast requires that principal investigators disclose any significant financial interest of the principal investigator (including the spouse and dependent children) that would reasonably appear to be affected by the research or educational activities. Please see Board of Regents Policy and Regulation – Human Resources, Part IV, and Chapter 04.10 – Ethics and Conduct.

## **Reporting and Disclosure Requirements**

The UAS Proposal Submission Cover Sheet requires certification by the that they have read and understand the BOR Policy on Ethics and Conduct. The above definitions (and BOR policy) should guide the Principal Investigator in this determination. If the principal investigator identifies a potential or actual conflict of interest, then the required UA Ethics Disclosure Form must be submitted to Human Resources prior to submission of the proposal. That form, with all required signatures must be included with the proposal submission.

## **General Discussion**

A *potential Conflict of Interest* occurs when there is not a clear distinction between an individual's private interests and that individual's professional responsibilities to the University, such that an independent observer might reasonably question if the principal investigator's actions or decisions are determined by considerations of personal gain, financial or otherwise.

This paper is meant to communicate the policy which is intended to address the definition of conflict of interest and keep UAS in compliance with the National Science Foundation and other agencies, state and federal regarding principal investigator conflict of interest and objectivity in research, which UAS also extends to non-research program awards.

The following list illustrates some (not all) of the most common conflicts of interest:

- Compromising the quality of education at the university by improperly allocating time and effort to the university;
- Over-committing time so that one's instructional responsibilities are neglected, or a contract or grant does not receive the time or effort called for by the agreement;
- Using or releasing privileged information for personal or third party gain;
- Altering the focus of a grant for the benefit of one's outside interests or for financial gain;
- Obtaining personal gain by influencing purchases of equipment, instruments, etc.;
- Influencing the negotiation of contracts for inappropriate personal or third party benefit;
- Compromising the educational benefit of student research to obtain results supporting outside interests;
- Accepting outside employment which might impair independence of judgment in the performance of university duties and responsibilities;
- Accepting money, goods, services, entertainment, or any form of gratuity either directly or indirectly from any individual or company interested in business or financial relations with the university;

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- Having personal investments in any business entity which could create a substantial conflict between those private interests and university duties;
- Consulting for one or more government agencies or other contractors in the same technical field as one's current government supported research project, which may result in giving advice of questionable objectivity;
- Consulting for compensation on any university research project for which one is already being compensated; and
- Receiving additional compensation for duties that are a normal part of one's job description.