



## Wilberforce University

Policy number: 3251

Subject: **Conflict of Interest (Faculty and Academic Staff)**

Date effective: July 1, 2011

Authority Vice President for Administrative and Financial Affairs.

**Applicability** In addition to the definition outlined in the University's Code of Conduct policy. A conflict of interest can also arise when a faculty member's private interests (such as outside professional or financial relationships) interfere with his or her professional obligations to Wilberforce. Outside professional or financial relationship situations do not imply, per se, wrong-doing or inappropriate activities. However, in a research university setting, they can compromise, or be perceived as compromising, important academic values, research integrity, or the university mission. At Wilberforce, it is essential for all faculty, and academic staff to understand how these divergent interests can become a conflict of interest.

3251.1 Conflicts of interest often arise at the intersection of two fundamental academic missions: to push the boundaries of knowledge; and to transfer that knowledge to the private sector for the benefit of the public. There may be, for example, significant personal financial incentives related to outside consulting and work, or patenting and licensing an invention or other interests. Considerations of personal financial gain however must not influence the decisions or actions of individuals in carrying out their University responsibilities. The perception that such incentives might harm academic and/or research objectivity or the protection of human subjects, students or others whose work depends on the direction of the individual faculty member is sufficient to mandate that such conflicts be identified, and then managed, mitigated or eliminated.

Wilberforce University must protect itself and its faculty, staff and students from any of the following allegations:

1. Exploitation of students for private gain or any other reason;
2. Compromise of appropriate controls in the conduct of research and the administration of grants;
3. Compromise of university priorities due to financial considerations;
4. Compromise of scientific objectivity in the conduct of research in any discipline;
5. Use of university resources for private gain;

6. Adverse effect by those in leadership roles on the professional or academic advancement of colleagues, staff or students as a result of outside interests;
7. Compromise of appropriate controls in the conduct of research such that research subjects could be harmed;
8. Undue personal gain from public funds; and
9. Unfair access by a company to information or technology.

To protect against such dangers, all Wilberforce University faculty members must certify annually their compliance with Wilberforce University's policies related to conflict of interest and commitment, and must disclose their outside professional activities and any financial interests in outside entities that they, and their immediate family members, have. In addition, faculty, and staff, must disclose any current or prospective situations which may raise questions of conflict of interest, such as those involving sponsored research, gifts, human subject protocols, licensing of intellectual property, procurement or other relationships with outside companies. Disclosures are to be made to the VP of Academic Affairs as soon as the individual becomes aware of such situations.

Potential conflicts of interest will be assessed against the concerns listed above. Where there is a risk that the outside interest may have or be perceived to have, a harmful affect on academic values, Wilberforce University will take steps to eliminate, mitigate or manage the conflict.

# Wilberforce University

## Conflict of Interest Disclosure Form Faculty and Academic Staff - To be completed Annually

### Fiscal Year Ending 6/30/2011

1. Are you aware of any relationship existing between the University and yourself, or a person or firm affiliated with yourself, that may represent an actual or apparent conflict of interest?

Yes \_\_\_\_\_

No \_\_\_\_\_

(If your answer is "Yes" please detail the circumstances. If more space is needed you may use the reverse side of this form or add additional pages)

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2. Excluding circumstances that have been previously reported under the University's Code of Conduct, did you, or a person or firm affiliated with yourself, receive or expect to receive a loan or anything of value during the Fiscal Year Ending listed above:
- a. From any source that supplies, or is seeking to supply goods or services to the University; or
  - b. For or because of any official act performed, or to be performed by you in your official capacity as a member of the Faculty or Academic Staff of Wilberforce University?

Yes \_\_\_\_\_

No \_\_\_\_\_

(If your answer is "Yes" please detail the circumstances. If more space is needed you may use the reverse side of this form or add additional pages)

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# Wilberforce University

## Conflict of Interest Disclosure Form CONTINUED Faculty and Academic Staff - To be completed Annually

Fiscal Year Ending **6/30/2011**

3. Do you know of any instances or circumstances that may constitute a violation of the Code of Conduct and Interest, that you have not previously reported?

Yes \_\_\_\_\_

No \_\_\_\_\_

(If your answer is "Yes" please detail the circumstances. If more space is needed you may use the reverse side of this form or add additional pages)

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I certify that the statements made above are complete and accurate:

Name: \_\_\_\_\_ Position: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

(Please submit annually to VP of Academic Affairs)

# Wilberforce University

## Conflict of Interest Disclosure Form Faculty and Academic Staff - To be completed Annually

Fiscal Year Ending **6/30/2011**

4. Are you aware of any relationship existing between the University and yourself, or a person or firm affiliated with yourself, that may represent an actual or apparent conflict of interest?

Yes \_\_\_\_\_

No \_\_\_\_\_

(If your answer is "Yes" please detail the circumstances. If more space is needed you may use the reverse side of this form or add additional pages)

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5. Excluding circumstances that have been previously reported under the University's Code of Conduct, did you, or a person or firm affiliated with yourself, receive or expect to receive a loan or anything of value during the Fiscal Year Ending listed above:
- a. From any source that supplies, or is seeking to supply goods or services to the University; or
  - b. For or because of any official act performed, or to be performed by you in your official capacity as a member of the Faculty or Academic Staff of Wilberforce University?

Yes \_\_\_\_\_

No \_\_\_\_\_

(If your answer is "Yes" please detail the circumstances. If more space is needed you may use the reverse side of this form or add additional pages)

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# Wilberforce University

## Conflict of Interest Disclosure Form CONTINUED Faculty and Academic Staff - To be completed Annually

Fiscal Year Ending **6/30/2011**

6. Do you know of any instances or circumstances that may constitute a violation of the Code of Conduct and Interest, that you have not previously reported?

Yes \_\_\_\_\_ No \_\_\_\_\_

(If your answer is "Yes" please detail the circumstances. If more space is needed you may use the reverse side of this form or add additional pages)

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I certify that the statements made above are complete and accurate:

Name: \_\_\_\_\_ Position: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

(Please submit annually to VP of Academic Affairs)