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SECTION: HUMAN RESOURCES

AREA: EMPLOYEE RELATIONS

SUBJECT: CONFLICT OF INTEREST FOR NON-ACADEMIC STAFF MEMBERS

PURPOSE

The purpose of this policy is to promote the UAMS mission (education, patient care, research, and outreach) by implementing procedures to assure disclosure and appropriate management of potential conflicts of interest among Non-Academic Staff Members.

SCOPE

This policy applies to Non-Academic Staff Members.

DEFINITIONS

Conflict of Interest (COI) shall mean an outside interest that could inappropriately influence or reasonably appear to inappropriately influence an individual's performance of his or her UAMS duties or responsibilities.

Financial Interest shall include any of the following interests of a Non-Academic Staff Member or his/her Immediate Family Members that could reasonably appear to be related to the employee's UAMS duties or responsibilities.

- (a) Equity interests (such as stock, stock options, or other ownership interests) with other healthcare organizations or entities doing business with or seeking to do business with UAMS.
- (b) Licensed intellectual property (patents, copyrights, etc.) or income from intellectual property rights (licensing fees, royalties, etc.), including intellectual property rights assigned to or licensed through UAMS.
- (c) Outside employment or independent contractor relationships with other healthcare organizations or entities doing business with or seeking to do business with UAMS.
- (d) Payments or other remuneration (such as consulting fees, honoraria, sponsored or reimbursed travel, gifts, contributions, etc.) from other healthcare organizations or entities doing business with or seeking to do business with UAMS.
- (e) Service as an executive officer, board member, or other fiduciary position with other healthcare organizations or entities doing business with or seeking to do business with UAMS.

Financial Interest does not include:

- (a) Compensation or other remuneration paid by UAMS (except for licensing fees or royalty income from intellectual property rights assigned to UAMS).
- (b) Income from seminars, lectures, or teaching engagements sponsored by government agencies, academic teaching hospitals, medical centers, or accredited public or non-profit institutions of higher education or their affiliated research institutes.
- (c) Income from service on advisory committees or review panels for government agencies, academic medical centers, or accredited public or non-profit institutions of higher education or their affiliated research institutes.

Immediate Family Members shall mean spouses, domestic partners, children, parents, grandparents, and siblings.

Non-Academic Staff Member shall mean Non-Classified employees who: (1) are not categorized as PRN or Temporary; (2) do not meet the definition of an Academic Staff Member under the Conflict of Interest Policy for Academic Staff Members (UAMS Administrative Guide 4.4.10); or (3) do not meet the definition of a UAMS Official under the UAMS Institutional Conflict of Interest Policy (UAMS Administrative Guide 4.4.13).

POLICY

Disclosure of Actual and Potential Conflicts of Interest: Non-Academic Staff Members hold positions of trust and must conduct their UAMS activities in such a manner as to fulfill the mission of UAMS without consideration of personal financial gain.

Potential COIs arise when outside Financial Interests have the potential to inappropriately influence or appear to inappropriately influence an individual's performance of his or her UAMS duties or responsibilities. These situations do not necessarily imply wrongdoing. However, the perception that outside Financial Interests might inappropriately influence an individual's conduct at UAMS is sufficient to require that both potential and actual COIs be disclosed and appropriately managed to help assure the public trust.

Non-Academic Staff Members are responsible for submitting an electronic Financial Interest Disclosure Statement to the Conflict of Interest Office within the first two (2) weeks of employment and on an annual basis thereafter. Statements must also be updated within thirty (30) days of acquiring a new Financial Interest.

PROCEDURE

Non-Academic Conflict of Interest Committee:

The Non-Academic Conflict of Interest Committee (NACOIC) shall be a standing committee of UAMS appointed by the Vice Chancellor for Institutional Compliance (VCIC) that represents a variety of UAMS constituencies. The Chairperson shall be

appointed by the Vice Chancellor for Institutional Compliance. In accordance with its Standard Operating Procedures, the NACOIC shall review Financial Interests disclosed by Non-Academic Staff Members, determine if such interests constitute a COI, and impose and monitor compliance with management plans.

NACOIC shall meet on a regular basis in order to act in a timely fashion. NACOIC members shall disclose any personal Financial Interests related to agenda items at the beginning of each NACOIC meeting and recuse themselves from decisions with respect to such items.

All COI disclosure forms reporting a Financial Interest must be reviewed by a direct supervisor prior to being routed to the NACOIC. Direct supervisors are also responsible for periodically reviewing COI disclosures where no Financial Interest is reported and reporting any concerns or known inaccuracies to the Conflict of Interest Office. When the NACOIC determines that a reported Financial Interest is also a COI, the NACOIC will develop a plan to manage the COI and monitor compliance.

Employee Responsibilities:

Administrative and Business Decisions: Non-Academic Staff Members shall recuse themselves from participation in any administrative or business decisions at UAMS that are related or may appear to be related to a Financial Interest of the Staff Member or his/her Immediate Family Members.

Service on UAMS Committees: Non-Academic Staff Members who have Financial Interests that are related or may appear to be related to their service on any UAMS committees, such as purchasing, formulary, or clinical practice guideline committees, shall disclose their Financial Interest to committee members and recuse themselves from participation in discussions and voting related to their Financial Interest.

Activities Related to Immediate Family Members: Non-Academic Staff Members shall not participate in the hiring process or any employment-related decisions pertaining to their Immediate Family Members. Likewise, Staff Members shall not directly supervise any Immediate Family Member who is an employee of UAMS or participate in reviewing an Immediate Family Member's job performance.

Outside Employment¹: Non-Academic Staff Members shall not engage in outside employment that interferes in any substantial way with their UAMS duties. In accordance with the University of Arkansas System Board Policy 450.1, full-time Non-Academic Staff Members who are also categorized as administrative staff, must receive written approval from the appropriate supervisor prior to engaging in external employment or other activities for compensation. Examples of administrative staff under this policy

¹ For outside activities involving other healthcare entities, the UAMS Industry Interaction policy (Administrative Guide 4.4.12), which applies to all UAMS employees, should also be consulted for additional requirements.

include, but are not limited to, directors, department heads, business managers, office managers, and other individuals in a supervisory role.

NONCOMPLIANCE

Failure to submit an accurate and complete Financial Interest Disclosure Statement as required by this policy and/or failure to comply with a management plan imposed by the NACOIC may result in disciplinary action in accordance with UAMS Administrative Guide 4.4.02, Employee Discipline.

REQUESTS FOR RECONSIDERATION

If a Non-Academic Staff Member is dissatisfied with the NACOIC decision regarding whether a conflict of interest exists or terms of a management plan, a written request for reconsideration may be submitted to the Director of Conflict of Interest within thirty (30) days of receipt of the NACOIC's decision. The request for reconsideration should include any additional information the Non-Academic Staff Member would like the NACOIC to consider. The reconsideration decision shall be final.

MISCELLANEOUS

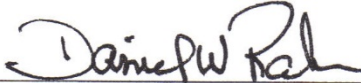
Record Retention. Conflict of Interest disclosures and management plans for Non-Academic Staff Members will be maintained for a minimum of five (5) years.

Questions. Any questions about this policy may be directed to the Conflict of Interest Office at 501-686-6447.

REFERENCES

Arkansas Code Annotated § 19-11-701 et seq.

[University of Arkansas System Board of Trustees Policy 450.1.](#)

Signature: 

Date: **December 9, 2015**