

CONFLICT OF INTEREST MANAGEMENT PLAN TEMPLATE

Familial Relationship in Sponsored Research

This template should be followed for sponsored research activities involving a relationship with a family member.

*(Note all instructions/guidance are in **italics** and should be removed upon drafting of specific plan)*

Name and Role of Affected Employees:

Name of Principal Investigator (or Co-PI, if applicable):

Title:

Department:

Name of Related Individual:

Title:

Department:

This plan provides information on the familial relationship arising from family members working together on a **sponsored research project** that exists between **Name of Primary Investigator** (hereafter referred to as the **Primary Investigator** or **PI (or Co-PI)**) and **Name of Related Individual**

Principal Investigator is serving as the PI on sponsored project award: *Fill-in award number*

Related family member is serving as: *Describe role in sponsored research*

Nature of the Potential Conflict:

Example: The primary investigator is a tenured faculty member who directs a research group in the Department of Civil Engineering. Research activities are primarily supported by federal agencies (NIH, NSF). Dr. Smith is a member of primary investigator's research group, and he is also her spouse. Dr. Smith is a non-tenure track member of the Department of Civil Engineering.

Terms of Management Plan

The ability or perception of the ability, to make objective decisions may be compromised if there is a Familial Relationship between family members working together on a sponsored research project(s). Scenarios where the family members don't report to one another in a supervisor-to-employee relationship will be of a lesser concern and easier to manage. The University is committed to protecting the integrity of the work and academic environment through appropriate disclosure, and when necessary, management of workplace relationships. In addition, we must remain compliant with the University's nepotism policy, which assures we are compliance with the Alabama Ethics Law.

Reporting Structure:

Guidance: Neither family member can report to the other.

Example: To prevent any favoritism or any real or perceived conflict related to salary, working conditions, faculty evaluation, promotion, or other conditions of appointment, Dr. Smith will report directly to Dr. XXXX,

Chair of the Department of Civil Engineering. Additionally, the University policy regarding nepotism will be followed.

Approval of Expenditures:

Guidance: Neither family member can approve financial transactions for the other, including travel or other reimbursements. These transactions should be submitted to the department chair for review and approval.

Example: The situation may arise where the salary for Dr. Smith's appointment is paid wholly or partly by grant funding source(s) for which a family member serves as the Primary Investigator. If this situation occurs, the Department Chair will be responsible for approving grant-related salary expenditures or travel reimbursements for Dr. Smith. The Department Chair will serve as Dr. Smith's direct supervisor during the appointment period. If the PI is the Department Chair, the College Dean may serve as the designated alternate for oversight.

Approval of Time/Effort Reporting:

Guidance: Neither family member can oversee time/effort reporting or payroll certification for the other. Where necessary for the purposes of a sponsored award, each will submit the information to a designated individual for inclusion in the necessary report which will be reviewed and approved by the department chair.

Other:

(Use this section to address other concerns or unusual circumstances that need oversight. Add specific areas/items to be managed given the nature of the conflict.)

Guidance: Neither family member can conduct personnel evaluation or set salary levels for the other.

Disclosure to the Research Team:

In the interest of transparency, anyone involved in the research project must be informed of the familial relationship and be provided the Department Chair (i.e. Independent Monitor) contact information in case anyone participating in the research would like to discuss his or her concerns about a perceived conflict.

Monitoring and Annual Report:

The Department Chair shall establish a case file for the Employees and monitor compliance with this Plan. The Employees are responsible for abiding by this Plan and the Primary Investigator must provide a written Annual Report outlining compliance with the terms of this Plan to the Department Chair prior to an Annual Review Meeting.

Annual Review:

Unless otherwise noted, this plan will be reviewed on an annual basis. A copy of the annual review must be provided to the Office of Research Compliance and Assurance, dlayton@southalabama.edu. Additionally, a case should be created in the COI Risk Manager electronic system and a copy uploaded.

Acceptance:

I have read the terms and conditions of this Management Plan, and confirm that it is accurate. I agree to comply with the management plan described above, as well as any ongoing monitoring. I agree that the Office of Research Compliance and Assurance may share this information with institutional officials and with individuals monitoring the plan, as required for the implementation of this plan.

Signatures

Primary Investigator Date

Related Individual Date

Department Chair Date

Research Compliance and Assurance Date

Select the appropriate review box:

- Initial Review
- Annual Review
 - No changes necessary
 - Modifications were made as follows:
