

## Faculty Handbook – Policy on Conflict of Interest<sup>1</sup>

### 2.4.6 Policy on Conflicts of Interest and Commitment

With the acceptance of a full-time appointment at the University of New Haven, an individual makes a commitment to the University that is understood to be full-time in the most inclusive sense. Every faculty member is expected to accord the University his or her primary professional loyalty, and to arrange outside obligations, financial interests and activities so as not to conflict with the overriding commitment to the University.

The term “conflict of interest” refers to situations in which financial or other personal considerations may compromise, or give the appearance of compromising, an employee’s professional time, energy, or judgment in administration, management, instruction, research and other professional activities. The bias such conflicts could conceivably impart may inappropriately affect the goals of research, instructional, or administrative programs. The education of students, the methods analysis and interpretation of research data, and the hiring of staff, procurement of materials, and other administrative tasks at the University must be free of the undue influence of outside interests.

Full-time members of the University’s faculty are expected to engage in a variety of professional, cultural, governmental, and humanitarian activities external to the institution. Such activities are intended to enhance the faculty member’s contributions to the education process and not to interfere with the faculty member’s primary obligations and assignments within the University. Such activities can consume no more than the equivalent of one day per work week during the faculty member’s teaching year. Teaching at other colleges or universities may be permitted provided that there is full disclosure to the University; a determination by the dean in consultation with the department chair that the teaching load is not excessive; and no harm is foreseen to the University’s enrollments, educational quality, or fiscal stability. Unauthorized teaching in programs which compete directly with University programs is viewed as a conflict of interest.

Consulting and similar business activities, including any active role in a for-profit corporation, is a legitimate faculty activity only if it does not consume more than the equivalent of one day per work week during the faculty member’s teaching year, or diminish the teaching, advising, and governance roles of the faculty member. Any substantial outside commitment which conflicts with faculty responsibilities obligates the faculty member to discuss the situation with the dean and to accept, if necessary, something less than a full-time relationship with the University. As a basic principle, the University expects that a faculty member’s primary commitment is to the University, its students, academic programs, governance system, committee structure, and research activities.

If a faculty member has consulting or similar business activity, or plans to assume, significant ownership or managerial responsibilities in an enterprise established for the purpose of commercializing the results of his or her professional endeavors, then he or she is required to disclose to the dean and if necessary to the provost and president the extent of the proposed involvement. Such disclosure will then be reviewed for conformance with University policy.

This policy permits UNH faculty members to undertake outside activities in one or more of the classifications of activities described not to exceed a collective average of the equivalent of one day per week concurrent with the faculty member’s teaching assignments. These activities should increase their effectiveness and broaden their experience in relation to their functions at the University, or should be of service to the community, private sector, nation, or world provided:

- a. The cumulative total of outside professional activities and overload activities does not substantially interfere with the performance of the faculty member’s University duties.
- b. The outside activities do not involve use of University property, facilities, equipment, or services, except in limited circumstances when approved by the faculty member’s department chair and dean.

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- c. The faculty member makes it clear to the outside employer (agency, board, jury, or audience) that he or she is acting in an individual capacity and does not speak, write, or act in the name of the University or directly represent it.
- d. The faculty member does not list his or her University telephone number in commercial listings or other public documents, the purpose of which is to draw attention to the individual's availability for compensatory service. Further, use of the University name, logo, and stationery is prohibited.
- e. The outside employment is consistent with policies of the faculty member's college, school, or division.
- f. The faculty member will inform his or her department chair of such activity at the beginning of each semester and will verify for the chair that the activities comply with university policy.
- g. During the other days of the week, faculty members are expected to be fully engaged in the work of the University, including such items as are enumerated in Section 2.4.2.

If the dean, provost, and president determine that a faculty member's involvement with an enterprise entails or is likely to entail a significant conflict of commitment, then he or she may request and receive a one-year term half-time appointment with appropriate reduction in obligations to and from the University. Alternatively, the individual may request and receive if approved by the president leave without pay for one year.

At the end of the one-year term, the individual may return to full-time status if the obligations to the private enterprise are discharged or acceptably reduced. Otherwise, the individual will be expected to relinquish full-time status and tenure if applicable. Notice of the faculty member's intent to return to full-time status must be received by the dean no later than April 15 for a potential return to full-time status as of the following fall academic term.

Once tenure is relinquished, the individual may accept an offer of adjunct status; however, reappointment to full-time status requires application and approval through the University's ordinary faculty appointment procedures.

*Special Conflict of Interest Situations*—A special kind of problem may arise when an individual has a consulting agreement or other substantial personal interest in an organization which either manufactures equipment or provides services that are purchased for use by the University of New Haven.

Responsibility for the propriety of arrangements in which multiple and possibly conflicting interests exist rests in the first instance with the individual. For the protection of all concerned in which the appearance of a conflict of interest exists, members of the faculty are expected to provide full information to, and obtain the approval of, the appropriate dean and the president and provost for any arrangement in which a conflict of interest is implicit has the or potential to exist.