Washburn University
Conflict of Interest Policy

The Washburn University Policies, Regulations, and Procedures Manual Section A.5. contains the guidelines for and enforcement of the conflict of interest policy (copied below).

Section A.5. Conflict of Interest

5.1 Purpose. The purpose of these regulations and procedures is to:
- Provide examples of conduct which is deemed to constitute actual or apparent conflict of interest;
- Describe the process by which disclosure of actual, potential or apparent conflicts of interests, are to be made by University Employees or representatives; and,
- Describe enforcement of the conflict of interest policy.

5.2 Definition. For the purpose of these regulations and procedures the following definition applies.

5.2.1 “Conflict of interest” means the existence of an Employee’s financial or personal considerations which may, or may appear to, impair or compromise the performance of the Employee’s duties as a University Employee for or on behalf of the University.

5.3 Types of Conflict. A conflict of interest, or apparent conflict of interest, exists when an Employee or person acting for or on behalf of the University:
- Seeks personal gain through his/her employment at the University;
- Engages in non-university employment or consulting activity for himself/herself or for another which impairs:
  - His/her ability to fulfill her/his obligations to the University as an Employee; or,
  - The Employee’s judgment in the performance of University duties and responsibilities.

5.4 Personal Gain. The following are examples of conduct which present a conflict of interest when personal gain accrues to the Employee or a member of his/her family or others with whom he/she is associated.

5.4.1 A person uses, or attempts to use:
- His/her position with the University to achieve a material and/or financial benefit for himself/herself or others;
- University property, resources or services, including but not limited to, University offices, office supplies, telephone, equipment, computing resources, for personal and private purposes to achieve a material or financial benefit for himself/herself or others;
- University Employees, Students, contractors, or volunteers to achieve a material or financial benefit for himself/herself or others; and,
- Any confidential information acquired in connection with University related activities or University employment to achieve material or financial benefit for himself/herself or others, or for other unauthorized purposes.

5.4.2 A person directly or indirectly solicits, receives or accepts anything of more than nominal value from any person or organization seeking to do business with or have an association with the University. Exceptions are:
- Registration for an event at which the Employee is making a presentation or providing a service, as an Employee of the University, to the event sponsor;
• Promotional items, such as coffee cups, pens, pencils, mouse pads, etc;
• Textbooks, software, and instructional materials to be reviewed by teaching faculty;
• An award, plaque, certificate, memento or similar item given in recognition of the Employee’s charitable, civic, professional, personal private, public or political achievements;
• Food and/or beverage of nominal or reasonable amount given to or consumed by an Employee at a single meal or event; or,
• The President or his/her designee may grant additional exceptions, in writing, when he/she determines, upon the basis of the facts presented:
  o The benefit accruing to the individual is of nominal value; and,
  o The exception will not impair either the individual’s or University’s ability to conduct business ethically, fairly and impartially; or,
  o When the requested exception is a common and generally accepted practice in public higher education institutions.

5.5 Other Employment and Activity. The following are examples of non-University employment or activity, either with or without compensation, which impairs the ability of an individual to perform his/her obligations as an Employee or representative of the University.

5.5.1 Employment or other activity which occurs at times during which the Employee normally is to perform his/her obligations for the University.

5.5.2 Employment, without the approval of the applicable Major Academic Unit Dean and the VPAA, in a teaching capacity on a full-time or part-time basis with another higher education institution.

5.5.3 Employment or activity individually or with another person or entity providing goods or services which are in competition with goods and/or services provided by the University.

5.6 University Disclaimer. In all employment or activities outside of an Employee’s University employment, each Employee functions in his or her individual capacity, without the support of the University, and is solely responsible for his/her acts.

5.7 Disclosure—Creation of University Financial Obligations. All persons recommending or involved in creating any financial obligation of the University, including but not limited to the purchase of goods or services, contracts obligating the University, and leases, shall disclose to their supervisor the nature of any relationship whatsoever they may have with any vendor, contractor or lessor. A financial obligation in which an Employee or representative of the University has an interest will only be entered into if:
• It is deemed to be in the best interests of the University; and,
• Such person’s interest with the other party will not conflict substantially or materially with such person’s discharge of his/her University responsibilities.

5.8 Disclosure—Conflict with Duties. All persons considering non-university employment or other activity which may create a conflict of interest have a duty to disclose any actual or potential conflict to their supervisor by submitting a written statement describing the nature of the potential conflict. Supervisors who become aware of such actual or potential conflict with the University by persons within their supervision have a duty to request such individuals provide such a written statement.

5.9 Disclosure Advice. Any person who is in doubt whether he/she is confronted with an actual or potential conflict of interest should seek the advice of his/her supervisor or the appointing authority for his/her position to determine if the interest could conflict impermissibly with the person’s obligation to the University.
5.10 **Annual Disclosure.** All officers of the University or its Board of Regents, deans, directors and those persons identified by the President shall annually submit a completed “Annual Conflict of Interest Disclosure Statement” to the Vice President for Administration and Treasurer.

5.11 **Enforcement.**
5.11.1 **The ultimate responsibility for the enforcement of** the policies and regulations on conflicts of interest is that of the President who may delegate authority for enforcement to other University officials.
5.11.2 **Violations of the policy or regulations, include,** but are not limited to:
   - The failure to file timely disclosures;
   - Filing incomplete, erroneous, or inaccurate disclosures; or,
   - Failure to comply with prescribed procedures for managing or resolving conflicts or potential conflicts of interest.
5.11.3 **Violations shall subject the person to disciplinary sanctions** which may include, but are not limited to, suspension from or termination of employment.

5.12 **Examples.** Examples of situations in which a conflict of interest will be deemed to exist.
5.12.1 **The use of the Employee’s or individual’s official title of employment** or the University’s name, or any of the University’s component parts, including any of the University’s graphics, in any situation other than in the conduct of official University business.
5.12.2 **The use of any University resource,** including but not limited to University stationery, the University’s address, phone number, fax number or electronic mail address as a contact point for personal or private business use.
5.12.3 **The use of the University’s name, its tax exempt status** or its tax exempt number to purchase goods or services for personal or private business use.
5.12.4 **The use of University resources in such a way as to interfere** with, or cause harm or damage to, another person, institution, or company within or outside the University community.