

University Rule 1-006B: Individual Financial Conflict of Interest Non-Compliance

Effective Date: August 20, 2012

I. Purpose and Scope

This Rule is enacted to implement University Policy 1-006, Individual Financial Conflicts of Interest.

II. Definitions

The definitions provided in Policy 1-006 apply for purposes of this Rule.

III. Rule

A. Procedures for Investigating Non-Compliance

1. Reports of non-compliance with University Regulations governing individual conflicts of interests (including Policy 1-006 and Rule 1-006A) or a prescribed management plan, shall be presented to the Conflict of Interest Officer.
2. The Conflict of Interest Officer shall make a preliminary evaluation of the reported violations within five (5) days.
3. If the Conflict of Interest Officer determines in consultation with the Committee that further investigation is warranted, the Conflict of Interest Officer shall:
 - a. forward the report of potential non-compliance to the Individual Conflict of Interest Committee;
 - b. provide a copy of the report and the pertinent conflict of interest Regulation to the individual who is the subject of the allegations;

- c. request a written response from the individual for the Committee's consideration.
4. The individual shall have thirty (30) days to submit a written response to the Committee.
5. Within five (5) days of receiving the response from the individual, the Committee shall forward the report of non-compliance and the individual's response to the individual's department chair or supervisor.
6. Within ninety (90) days of receiving the response from the individual, the Committee shall complete an investigation into the allegations. During the investigation, the Committee shall review the report of non-compliance, any response from the subject individual, and any other relevant documentary material. The Committee may also conduct interviews of the person submitting the report, the individual subject of the allegations, and any other persons believed to have pertinent factual knowledge of the allegations.
7. If the Committee determines that the individual has not violated the conflict of interest Regulations, the Committee shall prepare a final report and provide written notice of its findings to the person providing the report, the individual subject of the allegations, and the individual's department chair or supervisor within five (5) days. This determination may be appealed pursuant to the appeals process described in Policy 1-006 Section III-H.
8. If the Committee determines that the individual subject of the allegations has violated a conflict of interest Regulation, the Committee shall have thirty (30) days to prepare a final report and present its findings, sanctions, and recommendations to the person submitting the original report, the individual subject of the allegations, the individual's department chair or supervisor and the cognizant vice president.
9. For any recommendation from the Committee to the cognizant vice president(s) for disciplinary or other administrative action, the individual

subject of the allegations may, within ten (10) days of delivery of the Committee's final report, provide the cognizant vice president(s) with a written response to the Committee's recommendations.

10. The time frames outlined in these procedures may be extended for extenuating circumstances, as determined by the Vice President for Research.

B. Actions of the Vice Presidents.

1. Upon receipt of a recommendation from the Committee for disciplinary or other administrative action, the cognizant vice president(s) shall consider the Committee's findings and recommendations and any timely written response from the individual subject of the allegations. The vice president(s) shall, within thirty (30) days of receiving notice of the Committee's final report, provide written notice of the vice president's intended course of action to the Committee, to the individual subject of the allegations, and to the person who submitted the original report.

IV. Legislative History

- A. Editorially changed [Date] to replace gender-specific pronouns.