# CONFLICT OF INTEREST (COI) MANAGEMENT PLAN-RELATIONSHIP/Family

**Investigator’s name:**

**Department:**

**Reason for Management Plan:** activities include participation of a family member in a proposal or a funded activity. NDSU Policy 151.1 defines “family member” as " spouse, domestic partner/significant other, child (ren), sibling(s), parent(s) or in-law(s)”

# This COI management plan is designed to oversee the collaborative working relationship between ------- and --------- who are family members, in order to ensure compliance with University, state, and granting agency policies.

**Effective Period of this Management Plan:**

This plan will be reviewed annually by the Conflict of Interest Committee (COIC). The COIC will request any updates on funding, documentation from the employees involved of notifications to students/staff about the relationship, or any other information/changes that the involved employees think are relevant. After receipt of the review, if there are no outstanding issues or concerns relevant to the agreement, the plan will be renewed for another year and the employees will be notified. The plan will also be reviewed when new circumstances warrant, or if any concerns are raised.

**Background:**   
 Please describe the nature of the family relationship and any information about your working relationship that you think is relevant.

Because of your family relationship, your roles as \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ may pose a potential conflict of interest for your research/teaching/service efforts. To maintain transparency, to ensure proper oversight of the COI, and to comply with all NDSU policies, including but not limited to, *NDSU Policy 151.1 External Activities and Conflicts of Interest, NDSU Policy 152 External Professional Activities*, *and Policy 326 Academic Misconduct*, *as well as NDCC 44-04-09 and SBHE 603.3,* the following mechanisms of this COI management plan will be activated on the aforementioned date:

# Management Mechanisms:

* 1. Both employees will continue to report independently to their department chair.
  2. Neither employee shall approve financial reimbursements for the other.
  3. If necessary, employees’ time and effort reporting will be approved by the department chair.

# Fiscal Decisions:

* 1. All yearly performance evaluations and salary related decisions where one employee supervises the other will be made by their department chair.
  2. Any revision of a grant budget by either employee that impacts the other and that involves a significant financial interest as defined by Policy 151.1, section 3.7 is a conflict of interest and must be reviewed by the COIC to determine that it is being managed appropriately. Salary decisions made by others that are not defined in these sections, including merit-based raises recommended by the department chair and/or college dean, or salary increases from other funding sources that do not fall under this COI plan, do not require such review. If the COIC determines that a salary budget requested change is appropriate and is managed effectively, a notice will be sent to the department chair for their final review. Approval or disapproval of the requested change, compliance with grant/contract terms, and other related issues are still the responsibility of the chair.

If the COIC determines that a salary budget reallocation may violate either the terms of this plan or university policy, the COIC will send a request for clarification to the involved employee. If, after receiving and reviewing said clarification, the COIC determines that a violation has occurred, a letter describing how the reallocation violates the plan and/or policy will be sent to the department chair and dean and copied to the involved employees, who are welcome to submit their own letter of clarification to the department chair and dean.

# Scientific Progress:

The listed employees may oversee their own relevant research program but may not be in a supervisory position over the other.

# Disputes:

This relationship between employees could lead to disputes between members of the research group. Therefore, to protect university students and personnel from such situations, all members of the research group (postdocs, students, technicians, etc.) will be notified of the existence of this COI management plan. This notice to research team members will be in writing along with their acknowledgement of receipt and will be kept on file and presented at the annual COIC review. Each member of the research team shall be provided with contact information of the COIC administrator and the department chair. If a concern arises, the concerned party should contact either the department chair or the COIC administrator. The COIC will then be notified and will investigate the concern.

If, after receiving notification of concern through the channels described above, the COIC determines that a violation may have occurred of either the terms of this plan or university policy, the COIC will send a request for clarification to the PI and Co-PI. If, after receiving and reviewing said clarifications, the COIC determines that a violation has occurred, a letter describing the violation will be sent to the department chair and dean and copied to the involved individuals, who are welcome to submit their own letter of clarification to the department chair as well.

# By signing this COI Management Plan, I agree to abide by terms of this plan and all NDSU policies including but not limited to Policy 151.1 External Activities and Conflict of Interest, Policy 152 External Professional Activities and Policy 326 Academic Misconduct as well as NDCC 44-04-09 and SBHE 603.3.

**Investigators:**

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Name: Date:

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Name: Date:

**Approved by Department Chair:**

# \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_

# Name: Date:

# Approved by Dean of the College

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# Name: Date:

# Approved by the Chair of the COIC

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# Name: Date: