

UNIVERSITY OF HAWAII AT MĀNOA

College of Tropical Agriculture and Human Resources
Office of the Dean and Director

May 8, 2003

MEMO TO: Department Chairpersons
County Administrators
Unit Administrators

FROM: Andrew G. Hashimoto
Dean



SUBJECT: Conflicts of Interest

We have been reminded by Chancellor Peter Englert, that all deans must compile an annual report of faculty and staff conflicts of interest for calendar year 2002. This is a requirement of Executive Policy ES.214, which is available for viewing at: <http://www.svpa.hawaii.edu/svpa/ep/e5/e5214.pdf>. Please have all faculty and staff in your unit, including those on extramural funds, complete the attached disclosure form on or before May 23, 2003, and transmit them to Ruddy Wong for compilation into a summary for the College.

In an effort to be responsive to concerns, a provision has been made for supervisors of non-faculty and non-administrators to use their own judgment as to whether it is necessary for an UH employee under their supervision to file a disclosure form. This discretionary right is offered with the understanding that the supervisor of the non-faculty member or non-administrator will consider whether the individual is responsible for the design, conduct, or reporting of research, training or educational activities. If the answer is yes, then a disclosure form must be filed. In addition, there may be other circumstances which would dictate the need for an employee to file a disclosure form. If there is doubt, the supervisor should require submission of the form.

All faculty and administrators are required to file the form. RCUH employees of the University of Hawai'i, post-doctoral employees, and students who are paid by the University of Hawai'i for work performed are to be regarded as UH employees and subject to the above considerations.

The department chair is expected to sign off as supervisor for all their faculty and staff on the Mānoa Campus and also those in the counties. The county administrator will only be responsible for the civil service staff.

If you have any questions on this matter, please contact Ruddy Wong at 956-8228 or email to ruddy@hawaii.edu.

jsw
attach.

c: CTAHR Cabinet

UNIVERSITY OF HAWAI'I DISCLOSURE FORM

Purpose: The purpose of this disclosure statement is for faculty members, staff and administrators of the University to ensure that no unresolved conflict exists between their primary University commitments and their outside interest and activities. This statement conforms with current federal guidelines requiring disclosure of professional activities of faculty members and administrators. This statement establishes specific facts to help supervisors determine whether potential conflicts exist, enabling them to anticipate and resolve problems.

Procedure: All faculty members, staff and administrators must complete this form annually and submit it on or before April 15 to their department chairperson, unit director, dean, or other immediate supervisor. Only those outside interests related to University activities need to be reported. Not all outside interests and financial relationships place the faculty or staff member or administrator in conflict with his or her obligations to the University and to their profession; nor are all conflicting interests necessarily impermissible. Timely and complete disclosure of potential conflicts of interest protects employees from suspicion and accusations of breaches of academic integrity.

PART I

Statement of Outside Interests and Activities

Name: _____ Date: _____

School/College/Unit: _____

Department or Subunit: _____

1. Ownership Interests: During the past calendar year, did you or members of your immediate family¹ own or control an equity interest in any organization² in your field of academic interest or specialization?

YES _____ NO _____

2. Office and Positions: During the past calendar year, were you or a member of your immediate family a director, officer, partner, employee, or agent, or in any managerial position of any organization outside the University of Hawai'i that might be affected by your research, creative, or administrative activities? (You need not answer with respect to governmental committees, community, political, academic, charitable, religious, social, or professional nonprofit organizations.)

YES _____ NO _____

3. Remunerative Activities: During the past calendar year, have you received income (cash or in-kind, ignoring reimbursement of reasonable expenses) related to your teaching, research, creative, or administrative activities from any one organization outside the University and its affiliated entities in excess of 1% of your University salary? (Exclude income totaling \$500 or less [cash or in-kind] from any one source on an annual basis. Check NO if total annual remuneration from any one organization does not exceed 1% of your University salary.)

YES _____ NO _____

4. Outside Employment of Students or Staff: Do you now, or did you during the past calendar year, employ any of your students or staff in a company or organization outside the University?

YES _____ NO _____

5. Other Transactions or Facts: During the past calendar year, did you or any member of your immediate family have an interest in any contract, sale, or other transaction to which the University of Hawai'i or one of

¹ Dependents, the spouse and all members of the household.

² Any corporation, partnership, proprietorship, firm, enterprise, franchise, association, trust, government agency, or other entity but not including mutual funds over which you have no control. Rev. 04/03/00

its affiliates was a party, or are there other situations, not listed above, that you believe may create an actual or perceived conflict of interest? (Exclude your own or your spouse's employment contract with the University.)

YES _____ NO _____

The above is an accurate and current statement of my reportable outside interests and activities.

Signature: _____ Date: _____

Supervisor's Statement: I certify that the person named above reports to me and to the best of my knowledge does not have any conflicts of interests or has reported and resolved them.

Signature: _____ Typed Name: _____ Date: _____

**COMPLETE PART II ONLY IF YOU ANSWERED "YES"
TO ANY OF THE QUESTIONS OF PART I.**

**PART II
CONFIDENTIAL DISCLOSURES**

**Detailed statement of Outside Interests and Activities
(when applicable)**

Name: _____ Department or Subunit: _____

1. Ownership Interests

If during the past calendar year you or members of your immediate family owned or controlled an equity interest in any organization in your field of academic interest or specialization, give details below.

| Organization | City & State | Nature of | Relationship of Business Family Member |
|--------------|--------------|-----------|----------------------------------------------|
| | | | |

2. Officer and Positions

Please give details if, during the past calendar year, you or a member of your immediate family were a director, officer, partner, employee, or agent or in any managerial position of any organization outside the University of Hawai'i that might be affected by your research, creative, or administrative activities. (You need not answer with respect to governmental committees, community, political, academic, charitable, religious, social, or professional nonprofit organizations.)

| Organization | City & State | Nature of | Relationship of Business Family Member |
|--------------|--------------|-----------|----------------------------------------------|
| | | | |

3. Remunerative Activities

Please give details if, during the past calendar year, you have received income (cash or in-kind, other than reimbursement of reasonable expenses) related to your teaching, research, creative, or administrative activities

from any organization outside the University and its affiliated entities in excess of 1% of your University salary. (Exclude listing any income totaling \$500 or less [cash or in-kind] from any one source on an annual basis.)

| <u>Organization</u> | <u>Nature of Business</u> | <u>Does the total annual remuneration per year exceed 1% of your University salary? (answer yes or no)</u> |
|---------------------|---------------------------|------------------------------------------------------------------------------------------------------------|
|---------------------|---------------------------|------------------------------------------------------------------------------------------------------------|

4. Outside Employment of students or Staff

Do you now, or did you during the past calendar year, employ any of your students or staff in a company or organization outside the University? If so, please list below.

| <u>Name of Student/Staff</u> | <u>Employer</u> | <u>Effort (Hrs/Year)</u> |
|------------------------------|-----------------|--------------------------|
|------------------------------|-----------------|--------------------------|

5. Other Transactions or Facts

During the past calendar year, did you or any member of your immediate family have an interest in any contract, sale, or other transaction to which the University of Hawai'i or one of its affiliates was a party, or are there other situations, not listed above, that you believe may create an actual or perceived conflict of interests? (Exclude your own or your spouse's employment contract with the University.) Please identify such transactions or facts, including date, parties, subject matter, etc.

The above is an accurate and current statement of all my reportable outside interests and activities.

Signature: _____ Date: _____

Supervisor's Statement:

I have reviewed this form and find (no) reason for further action.

Signature: _____ Typed Name: _____ Date: _____