Managing Substantial and Potential Conflicts of Interest

As an employee, you may be faced with a conflict of interest if you are required to take action in your UConn Health role that could result in a direct monetary gain or loss for yourself, certain family members, or a business with which you are associated. When presented with scenarios like those illustrated in this brief video, it is important to know what types of questions to ask and where to seek further guidance to avoid having them grow into potentially serious issues.

Below are a few important reminders to help you identify and avoid conflicts of interest.

- First, please be aware that the Code of Ethics prohibits a state employee (in this case UConn and UConn Health employees) from using their state position or authority for personal financial gain.
- Potential conflicts of interest may also serve as the basis for complaints concerning disparate treatment and favoritism, and may violate the University Policy on Contracting and Employment of Relatives.
- UConn Health’s Individual Financial Conflicts of Interest in Research Policy requires investigators to promptly and fully disclose any significant financial interests (including those of a spouse or dependent child) that reasonably relates to their institutional responsibilities.
- Per the State Code of Ethics, no public official or state employee, member of the immediate family, or a business with which their associated shall enter into any contract with the state, valued at one hundred dollars or more unless such contract has been awarded through an open and public process.

If you are presented with a substantial or potential conflict of interest:

- Abstain from taking official action if that action may affect your own financial interest, the financial interest of certain family members or the financial interest of a business with which you are associated.
- Submit a signed written statement to your immediate supervisor describing the situation and the nature of the conflict. Supervisors receiving a disclosure of a conflict of interest are required to assess the matter to ensure a plan that addresses the conflict and is in the best interest of the University is implemented.
- To meet this statutory requirement and comply with University policy, please use the Conflict of Interest (COI) Disclosure form.
- Remember, individuals responsible for the design, conduct, or reporting of research at UConn Health are required to disclose significant financial interests (SFIs), as well as those of a spouse or dependent child that reasonably relate to their institutional responsibilities. This disclosure is made electronically in the UConn Health InfoEd Financial Interests System.
- Note: A financial disclosure form must be submitted annually and within 30 days of acquiring or discovering a new SFI as defined by policy.

For More Information

The Office of University Compliance
Email: compliance@uchc.edu
Web: compliance.uconn.edu

The Office of the Vice President for Research
Email: fcoi@uchc.edu
Web: https://ovpr.uchc.edu/services/rics/fcoi/