Chairs and Associate Deans Leadership Workshop I

August 21, 2019
Aiken 311
8:00 AM – 12:45 PM
# Chairs and Associate Deans Leadership Workshop I

**August 21, 2019**  
**Aiken 311**  
**8:00 AM – 12:45 PM**

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<tr>
<th>Time</th>
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<tr>
<td>8:00 AM</td>
<td>Continental breakfast</td>
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<tr>
<td>8:20 AM</td>
<td>Welcome and Introductions</td>
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<td><em>Jim Vigoreaux, Associate Provost for Faculty Affairs</em></td>
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<td><em>Patricia Prelock, Interim Provost and Senior Vice-President</em></td>
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<tr>
<td>8:30 AM</td>
<td>Faculty Resources and Recommendations for Sabbatical Applications and RPT Dossiers</td>
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<td><em>Jim Vigoreaux, Associate Provost for Faculty Affairs</em></td>
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<td>9:10 AM</td>
<td>Inclusive Excellence @ UVM</td>
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<td><em>Jim Vigoreaux, Associate Provost for Faculty Affairs</em></td>
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<td>10:15 AM</td>
<td>Break</td>
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<td>10:30 AM</td>
<td>Tracking Your Metrics with the Catamount Data Center</td>
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<td><em>Larry Granillo, Office of Institutional Research</em></td>
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<td>11:30 AM</td>
<td>Supervisor Challenges: Case Studies</td>
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<td><em>Megan Boucher and Mary Brodsky, Labor Relations and Employment Services</em></td>
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<td>12:00 PM</td>
<td>Conflict of Interest: A Case study</td>
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<td><em>Tessa Lucey, Director of Compliance Service</em></td>
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<td>12:20 PM</td>
<td>Concluding Activity and Closing Remarks</td>
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<td><em>Jim Vigoreaux, Associate Provost for Faculty Affairs</em></td>
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Factors to Consider When Planning and Evaluating Sabbatical Proposals
Recommendations from the Professional Standards Committee and the Office of the Provost


2. We note substantial variability among sabbatical submissions, especially pertaining to the level of specificity with which actual activities to be completed during the sabbatical are described. We continue to review sabbatical applications that include a strong rationale, but sometimes lack the level of specificity that would allow the reader to clearly understand what the faculty will actually be doing during the sabbatical period. For example, PSC consider the required timeline absent when an applicant writes something like: "Work described above will be completed by the end of the sabbatical leave." We encourage specificity of activities with projected timelines.

3. If the sabbatical application includes collaboration with partner institutions or organizations, including letters of invitation indicating access and anticipated collaboration verifies that the proposed activities can be pursued and hopefully completed. Some sabbaticals continue to include plans for such collaboration without verifying letters or emails. If the plan includes travel to a foreign country, it is helpful for applicants to establish their language access (e.g., fluent in the dominant language, availability of translators), if required.

4. We encourage sabbatical applicants to be as explicit as possible about how the sabbatical plan extends beyond what they might typically be expected to complete on their standard workload FTE devoted to scholarship and/or creative activity. For example, if someone indicates they plan to complete an article they have been working on and write one additional paper, one might reasonably wonder why these activities necessitate a sabbatical. It is most helpful when applicants explain how the sabbatical time allows them a unique opportunity to engage in activities that would otherwise not be available to them given a typical slate of duties (e.g., teaching, advising, committee work).

5. Due to the nature of funding cycles and notification dates, some faculty members who are pursuing external funding for sabbatical related activities (e.g., foreign or domestic travel) do not know the status of potential funding before submitting the sabbatical application. Since the plan may be dependent on the funding, faculty members often include a Plan A (a grand plan based on receipt of desired funding) and a Plan B (a scaled-back or completely different plan if funding is not forthcoming). This poses a challenge in the review process because the sabbatical applications almost universally are built around Plan A, with Plan B often offered as a brief afterthought (e.g., "I have an extensive plan to travel overseas to do X, Y, Z, and if I don't get funded I plan to stay home and write a couple of articles."). We suggest that the Plans for A and B be reversed. By this we mean that the sabbatical applications primary Plan A should be what the faculty member can commit to doing at the time of submission and the Plan B be considered value-added (e.g., ... and if I receive the funding for which I applied or am applying I will be able to do these additional or different activities...). If accurate, it can be helpful when an applicant states something like: "work is not dependent on the fellowships". If presented this way the proposal can be evaluated on the known, rather than the unknown. This is year, we received a couple of stellar examples of this Plan A/Plan B approach.

6. We encourage sabbatical applicants to remember that they are writing for an audience of people outside their own field or sub-field. Applicants are encouraged to avoid excessive disciplinary-specific language and acronyms likely to be unknown by reviewers outside the field (e.g., FSC, PSC, Provost).
7. We encourage Colleges to double-check applications for technical accuracy and completeness (e.g., URL links, bookmarks) prior to submission. Each year, several are returned to units for correction, which can delay the review process.

8. It is unclear to the PSC whether some applicants are receiving sufficient mentoring, guidance, and feedback prior to submission, especially first-time applicants. When deficiencies are perceived during the review process, they are most frequently issues that could have been reasonably addressed had the applicant received feedback earlier, such as from the Chair.
Factors to Consider When Planning and Preparing RPT Dossiers
Recommendations from the Professional Standards Committee and the Office of the Provost

For Chairs, Dean & FSC

1. The PSC recognizes that scholarship standards and expectations vary substantially across disciplines. While we rely on the cross-disciplinary membership of the PSC to review applications and help us understand expectations in different fields, at times we would be most appreciative if Chairs and Deans would help us understand expectations related to disciplines and individual cases. One area where this comes up pertains to the standards/expectations for being an independent or lead researcher or author and the extent to which this is expected. For example, sometimes a faculty member who is being considered for associate professor with tenure may have several collaborative authorships, with few if any as the lead author. In many disciplines, there is an expectation that being the lead author/researcher is expected to demonstrate independence from doctoral or postdoctoral mentors and establish the faculty member’s capability to conduct research and lead scholarship. We understand that in some circumstances a faculty member may not often be the lead, yet still deserve promotion. For example, someone whose specialty contribution is methodological may be the lead author less frequently, although the contributions may be significant and essential. In cases where the scholarship record warrants, we ask Chairs and Deans to educate us, through their narrative and letters, about this aspect of scholarship expectation pertaining to candidates.

2. On a related issue, PSC is always appreciative of having Chairs clarify scholarship standards within specific fields. For example, in some fields publishing a book is an expectation and sometimes it matters whether it is a trade or academic/university press. In other fields the peer-reviewed journal article is the important standard. Other less common forms of scholarship, such as translations or writing a government report may have high value -- we need Chairs and Deans to explain the value, especially in cases that may include outputs with which PSC reviewers may be less familiar.

3. Some dossiers still do not sufficiently or accurately specify an individual's actual workload percentages and/or information about what that means. Some Chair workload sections provide: (a) explicit workload clarity (those are very helpful), (b) boilerplate language (e.g., 40:40:20) even though the applicant may provide some level of contradictory information in their own narrative, and (c) no interpretable information about workload. How many courses (and different courses) a faculty member teaches or how much time they spend administratively are examples of factors that impact scholarship/research productivity. This type of workload information is helpful to put scholarship outputs in perspective. If two faculty members in the same or similar fields are teaching five, four, or two classes per year is relevant to evaluating their scholarship output. While percentages are commonly relied upon, it is equally important to be specific about what percentages actually mean (e.g., number of courses taught). This need exists because percentages tend to be gross indications of workload effort and we find standard designations (e.g., 40:40:20) are not reliable indicators of how many courses a person is teaching (we have encountered ranges from 2 to 5 with the same workload percentage listed).

4. If "No" votes at the Department and/or FSC level are sent forward without explanation, the PSC has little choice but to discount them. We ask that any "No" votes be accompanied by explicitly naming the category and specific standard(s) that the "No" voter believes have not been satisfactorily met.
5. When hiring faculty who have served at other universities it should be explicit how much, if any, of their previous experience is counting toward this promotion/action. For example, a faculty member works at UVM for one year as an Assistant Professor and goes up for promotion to Associate Professor with tenure, based mostly on past work. If the Dean has made an agreement of this sort to bring in credit from other universities toward promotion to Associate or Full, it will be helpful to have that specified. Similarly, for faculty being considered for early tenure, it would be helpful to have the early consideration noted by the Chair or Dean along with the justification.

6. We continue to find many external letters that are clearly not at "at arm's length". It is incumbent upon Chairs to solicit letters at appropriate distance for the applicant or explain why this did not happen (e.g., a very specialized field with a limited number of appropriate reviewers).

7. Please check all dossiers for technical adequacy prior to submission. The reviewing task is hampered when files lack bookmarks and/or links don't work.

8. The sequencing of external review letters and the corresponding writer's CV differs by college/school. The PSC found it helpful when all of the letters were in sequence (e.g., letters 1-7), followed by all of the CV in the same sequence. It was found to be more difficult when the documents alternated, letter 1-CV1-letter 2-CV2-letter 3-CV3.... We ask units to consider submitting all letters consecutively, before including the writer's CVs.
Factors to Consider When Planning and Preparing RPT Dossiers
Recommendations from the Professional Standards Committee and the Office of the Provost

For Faculty Members

1. The CV of most faculty members list publications using a standard citation format associated with their discipline (e.g., American Psychological Association - APA, American Medical Association - AMA, Modern Language Association - MLA, Chicago style). Problems arise in a small number of cases where a citation standard is not used; this often means several elements are missing (e.g., no names listed; names listed but authorship sequence not clear). We encourage faculty to list scholarship in their CV as if they were citations appearing in a scholarly journal, to include all of the same elements (e.g., authors, year, article title, journal/book, volume, page numbers, doi, if available).

2. When presenting teaching, it can be very helpful for reviewers when faculty summarize their teaching with a basic table that includes at least the following: (a) course number, (b) semester taught, (c) enrollment, and (d) overall average student rating for the course.

3. Many faculty members engage in collaborative research and authorship. While we have noted improvements within some units from year to year, too many faculty members still do not adequately describe the extent and nature of their participation in collaborative endeavors. For example, when a faculty member is the fourth of six authors, what exactly did the person do to contribute to this publication? It is incumbent upon each faculty member to explain this in the narrative section of the dossier. This is especially important in fields (e.g., medical sciences) where there may be different meanings attached to first and last authorship. Sometimes the last position means the least contribution; however, we have learned from our medical college colleagues that sometimes last means the person who runs a lab, conceptualized the study, and garnered the funding -- two very different meanings that we cannot discern without explanation beyond a citation.

4. We know there are many productive scholars at UVM garnering external funding – and they should be credited for these accomplishments. We regularly review dossiers where it appears individuals are listing grants (including amounts) that someone else wrote and/or where someone else is the principal investigator. Like publications, if a faculty member coauthored a funded grant they should take credit for their contribution by specifying the extent and nature of the contribution to garnering the funding. The concern we see with some regularity is that a faculty member gets a large grant and then either hires people to work on the grant or distributes smaller sub-awards to individuals or groups. In these cases, the receiving faculty member who was hired for a small piece or got a sub-award lists the full (much larger) amount on their own CV, giving the impression that they have been responsible for garnering these funds. While we recognize that it is not done with any ill intent, the PSC sees this frequently enough to raise it as a concern.

5. We encourage applicants to remember that they are writing for an audience of people outside their own field or sub-field. Therefore disciplinary-specific language and acronyms should be avoided or used minimally since they are likely unknown by reviewers outside the field (e.g., FSC, PSC, Provost).

6. When considering promotions to associate and full professor (tenure-track), some cases are more challenging than others in terms of determining whether they meet the CBA of "Substantial and sustained scholarship/research/creative activity of high quality is an essential criterion for reappointment, promotion and tenure" (Standard 14.5, e, ii; pg 36). In cases where
there is uneven scholarly production and/or significant (e.g., multi-year) gaps in scholarship production, it is incumbent on the applicant to help the reviewers understand how their record of productivity meets the "substantial and sustained" expectation.
Inclusive Excellence @ UVM
A Framework for Building a More Diverse, Inclusive, and Multiculturally Competent Campus
2016 - 2021

Pillar 1 - Academics

Component 1: Faculty Support and Engagement

1. Faculty receive support to incorporate diversity and inclusive excellence into their teaching, pedagogy, research, and scholarship.

2. Faculty receive support to incorporate Universal Design for Learning Principles into their teaching and pedagogy.

3. Faculty receive support to develop awareness, knowledge, and skills to effectively work with diverse and underrepresented populations.

4. Faculty are encouraged, recognized, and rewarded for their engagement and achievement in incorporating diversity and inclusive excellence into their teaching, pedagogy, research, scholarship, and service.

5. Faculty from underrepresented and diverse backgrounds receive support and resources to support their scholarly engagement and success.
The New Majority: The Challenge and the Opportunity

1. Describe what inclusive excellence means for your department or school.

2. How do you know when your department or school is ready to fully undertake this work?

3. How would you engage your faculty in meaningful ways in their understanding of and commitment to inclusive excellence?
Tracking Your Metrics with the Catamount Data Center

Larry Granillo
Office of Institutional Research
August 21, 2019
Agenda

- Introduction
- OIR’s new website
- Catamount Data Center
  - Overview
  - Data Hunt!
  - Discussion & Feedback
- CIP 2020
- Reminders & Questions
Office of Institutional Research

- Responsible for UVM’s official institutional data and statistics regarding students, faculty, and staff
- Provide data and analysis to departments, colleges, administration, committees and more
- Our goal is to provide you with the data and analysis you need in order to make data-informed decisions
OIR’s New Website

- Website: [https://www.uvm.edu/oir](https://www.uvm.edu/oir)
- Catamount Data Center: making data easily available (public and restricted data)
- Submit a Data Request! [https://www.uvm.edu/oir/data-requests](https://www.uvm.edu/oir/data-requests)
Catamount Data Center

- Central repository for OIR’s data
- Publicly-available information includes:
  - Student enrollment (by college, race/ethnicity, etc.)
  - Student persistence
  - Degrees awarded by program
  - Faculty & staff headcounts
Catamount Data Center

- Restricted-access information includes:
  - Student Credit Hour generation
  - Delaware Cost Study results
  - Undergraduate Admissions
  - Student enrollment by program
  - Student flow between programs

- And more!
Data Hunt

Use the Catamount Data Center to answer the following questions about your program:

1. How many degrees were awarded in your program(s) in each of the past five years?

2. How many students were enrolled in your program(s) in each of the past five years, including double majors and/or accelerated masters students?

3. How many student credit hours were generated by your department according to IBB in each of the past five years?

4. How many faculty and staff were in your department in each of the past five years?

5. What were the instructional costs per student credit hour for your department according to the Delaware Cost Study in the past five years?
Data Hunt Discussion and Feedback

Some questions to consider:

• Did you find the data points? Did you find anything surprising?
• How easy was it to navigate the Catamount Data Center?
• Were any of the dashboards/visualizations particularly useful? Difficult?
CIP = Classification of Instructional Programs

- Six-digit code that identifies our programs for easy comparisons across universities
- Example: Psychological Science, CIP code = 42.0101

Taxonomy is being updated in 2020

- Most CIPs are staying the same
- New CIPs will be introduced to account for changes in higher education in the past ten years (Example: Data Science)

OIR assigns CIPs, but we want your feedback

- Help us ensure that your program(s) is accurately represented
- We will reach out to you in the next month or two
Questions?

- OIR website: [https://www.uvm.edu/oir](https://www.uvm.edu/oir)
- Catamount Data Center: [https://www.uvm.edu/oir/catamount-data-center](https://www.uvm.edu/oir/catamount-data-center)
- OIR Data Request Form: [https://www.uvm.edu/oir/data-requests](https://www.uvm.edu/oir/data-requests)
- Contact me: Larry.Granillo@uvm.edu
  802-656-1168
OIR Data Hunt

Question 1: How many degrees were awarded in your program(s) in each of the past five years?

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Question 2: How many students were enrolled in your program(s) in each of the past five years, including double majors and/or accelerated masters students?

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<th>Program/Major</th>
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## OIR Data Hunt

**Question 3:** How many student credit hours were generated by your department according to IBB in each of the past five years?

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**Question 4:** How many faculty and staff were in your department in each of the past five years?

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**Question 5:** What were the instructional costs per student credit hour for your department according to the Delaware Cost Study in the past five years?

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<td>Faculty</td>
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SUPERVISOR CHALLENGES: Communication Case Studies

Mary Brodsky
Director, Labor Relations and Employment Services

Megan Boucher
LER Professional and Faculty Services Supervisor

August 21, 2019
Should I Say Something?

YES. As supervisors, it’s your job to:

- Address misconduct/behavior that requires correction
- Resolve on-going, evolving employee issues
- Manage performance problems
- Help employees in need of assistance
- Clarify expectations
- Communicate policy, rules, and other requirements

HAVE THE CRUCIAL CONVERSATION

Crucial conversations are the ones that, if missed or avoided, result in a deteriorating situation or the weakening of a working relationship.
How to Communicate Successfully

1. Make Your Message Clear
2. Use Active Listening Skills
Element 1: Make Your Message Clear

- Clearly state your request, opinion or idea. *(Here’s what I think.)*

- Reveal the thinking and reasoning behind your point. *(Here’s how I got there.)*

- Engage others. *(What do you think?)*
Element 2: Use Active Listening

Active Listening = The ability to clarify, comprehend and show understanding of the ideas, comments, and questions of others.

Skills to Develop

- Pay attention to the speaker so they know you are interested in what they have to say.
- Suspend your own thoughts and judgment so you can actually hear what the speaker is saying.
- Ask questions for understanding.
- Paraphrase and reflect back what they shared with you.
- Moderate your tone, pace, and volume.
- Control your facial expressions and body language.
Scenario 1

You’re at the beginning of your second year as Chair of your Department. Last semester, you were chagrined to read poor student evaluations for Liz, a long-time faculty member in your department. The students said that although she seemed like a very nice person, Liz was disorganized and unprepared for classes and that she had canceled multiple lectures, often at the last minute.

It’s September 30 and two students have sent you separate email messages about Liz. One says Liz hasn’t disseminated a course syllabus and the other says that the M/W/F class has been canceled twice already.

What do you do?
Scenario 2

You are a relatively new Associate Dean. You’ve become increasingly concerned about your colleague, Harry, who has begun acting surly at work. Harry has been abrupt with and dismissive of other faculty in meetings and has started keeping the door to his office closed at all times.

You approach Pat, Harry’s Department Chair, who tells you, “Harry is moody - this is nothing new.”

In a departmental meeting, Harry pounds the table in dissent and startles Pat and all of the other faculty in the room. Harry then stands up, points his finger in Pat’s face and says he doesn’t need to listen to this bu#$%*t before stalking out of the room and slamming the door behind him.

You weren’t at the meeting but a faculty member who was, comes and tells you about it. What do you do?
How to Be Straightforward

- Provide immediate feedback, if at all possible. If not, schedule a meeting. Timing is everything.
- It helps to prepare. Use talking points if you need to.
- Be direct.
  - If you sandwich a negative between positives, your message will get lost.
  - If you beat around the bush, you may never get to the point and your message will get lost.
- Be balanced.
  - If you empathize too much with the employee, they may miss the significance of your feedback.
  - If you don’t acknowledge or recognize the employee’s feelings at all, you may appear robotic or overly harsh.
- Don’t apologize for initiating the conversation.
- End the conversation on your terms.

Building Productive Relationships

- Communicate clearly
- Manage conflict
- Share information and resources
- Share responsibility
- Promote accountability
- Praise publicly
- Provide critical feedback privately
- Encourage collaboration
- Give credit
- Be transparent
- Work with integrity
- Recognize when you need help and ask for it

Email uvmler@uvm.edu or call your servicing Labor and Employee Relations (LER) Professional at 802.656.3150
Conflict of Interest & Conflict of Commitment

The Role of Department Chairs

PRESENTED BY:

Tessa Lucey, MHA, CHC, CHCP
Director of Compliance Services & Chief Privacy Officer

August 21, 2019
Agenda

• What is a Conflict of Interest
• What is a Conflict of Commitment
• Misconceptions
• Responsibilities
• Managing Potential Conflicts
• Resources
Disclaimer

This presentation is for University Conflicts of Interest and Conflicts of Commitment. Sponsored Research has a separate Financial Conflicts of Interest (FCOI) Policy.

Federal and other funding requirements – most notably Public Health Service (PHS) and related components such as the National Institutes for Health (NIH), and the National Science Foundation (NSF).

Contact Office of Research Administration & Integrity at conflict@uvm.edu with questions on FCOI at UVM.
What is a Conflict of Interest

• According to UVM Policy:
  • Activities that compromise, or appear to compromise, an employee’s judgment in performing their University duties.
  • Conflicts can arise when an employee, or a member of their family, has an existing or potential personal, financial or other interest that
    • impairs or may reasonably impair their independence of judgment in the discharge of responsibilities to the University; or
    • May result in personal gain or advancement at the expense of the University.
What is a Conflict of Interest

• Examples:
  • Making employment decisions about a member of your family.
    • Supervising, determining salary, approving time cards or employment records, evaluating performance
  
  *Hiring your spouse/partner into a position that reports directly to you.*

  • Negotiating contracts or business transactions with a family member or a company that a family member has a financial interest or management position.

  *Outsourcing your web development to a company owned by your daughter.*
What is a Conflict of Interest

- Accepting gifts (both cash and non-cash) from persons or entities doing business with UVM in consideration of the employee’s UVM business or professional relationship with the person or entity.

Accepting an all-expenses paid invitation to attend a conference from a vendor wanting to engage UVM in a contract.

- Examples:
  - Accepting/Soliciting bribes, kickbacks, payoffs, other improper incentives.

Choosing a vendor for a large contract because the vendor promised to provide you, personally, with 10% of the total contract price.
What is a Conflict of Interest

• Examples:
  • Disclosing or using without authorization UVM confidential or proprietary information.
  • Using a list of recent graduates to solicit donations from an unrelated non-profit that you are involved with.
What is a Conflict of Commitment

• According to UVM Policy:

  • A conflict of commitment occurs when external activities undertaken by a UVM employee will or reasonably can be expected to significantly interfere with his or her ability to perform obligations to University duties fully or effectively.
**What is a Conflict of Commitment**

- **Examples:**
  - Having a second job and performing that job while “on UVM’s clock”.
  - Attending a conference unrelated to the employee’s UVM position and getting paid as though it were related to their position.
  - Utilizing UVM resources to perform functions unrelated to job duties.
Misconceptions

• The Policy only applies to Officers of Administration, Senior Leaders or Researchers.

• If I’m not being asked to fill out a disclosure form, I do not need to disclose anything.

• Vermont is a small state and doesn’t have many options. If there’s no other option, it doesn’t have to be disclosed.

• I came into this supervisory position and I inherited existing staff that includes my family member.
Responsibilities

- Policy applies to all UVM employees... full-time, part-time, faculty, staff.
- Payments do not need to be made or accepted in order for a conflict of interest/commitment to exist - it’s not all about paying someone.
  - Favoritism
  - Promise of future engagements, contracts
  - Approval of time, expenses, activities
Responsibilities

- Responsibilities and requirements vary based on position.
  - Officers of Administration and other such officials designated by the President
    - Annually file a conflicts disclosure form (online, LimeSurvey)
    - Provide updates as circumstances change
  - Staff
    - Disclose to supervisors as conflicts arise
  - Faculty
    - Disclose to Chairs* as conflicts arise

* In units with no chairs, the requirement is that disclosures are made directly to Deans.
Responsibilities

• **Chairs or Supervisors:**
  • Determine if the disclosure presents a possible or actual conflict.
  • Communicate decision to employee within 14 days.
  • According to our policy, if the employee is not notified within 14 days, they are free to conclude that no conflict exists.
**Responsibilities**

- **Chairs or Supervisors:**
  - If an actual or possible conflict exists, the Chair or Supervisor will:
    - Develop a written management plan OR
    - If the conflict cannot be resolved, disallow the activity*.
  - Promptly investigate violations of UVM policy or the management plan.

* Employees may grieve disallowances – according to existing grievance procedures.
Managing Potential Conflicts

• If it looks like a conflict, sounds like a conflict or feels like a conflict, there is probably some level of conflict...

• Rather than try to find the loop hole, take an objective look and if it isn’t completely obvious that there isn’t a conflict, there’s a high likelihood that there is at least the appearance of a conflict.
Managing Potential Conflicts

• Recognize that it’s not necessarily a bad thing... most often it’s something that needs to be managed and doing nothing is what creates the problem.
Managing Potential Conflicts

• Nepotism
  • Definition:
    • Providing benefits/jobs to family members based on the relationship rather than on their merits.
  • Nepotism, by its nature, is a conflict that needs to be managed.

• While conflicts can be real or perceived, nepotism is real.
• Both need to be managed in the same manner.
Managing Potential Conflicts

• As a chair, you are responsible to review proposals and to implement management plans when/if a conflict/perceived conflict arises.

• Sometimes, information obtained during the review is confidential. You are responsible to maintain this confidentiality throughout the process.
Conflicts of Interest/Conflicts of Commitment

University of Vermont

www.uvm.edu/compliance compliance@uvm.edu

Gather Relevant Information
- Name
- Position/Title
- Department/Unit
- Describe Activity, Interest, Relationship

Is it a possible conflict?
Yes, move on. No, stop.

Identify the Category (COI or COC)
- COI’s requires a management plan
- COC requires plan to ensure UVM responsibilities are accomplished.

Revisit Periodically
- Does the conflict still exist?
- Have circumstances changed?
- Is employee complying with the management plan?

Develop an Agreement
- Employee agrees to x, y, z
- Articulate steps for monitoring.
- Require update if circumstances change.
- Both parties sign.

Faculty

Deans
Chairs
Supervisors
Managers

Staff
Managing Potential Conflicts

• Gather Relevant Information:
  • Employee name, position/title, department/unit.
  • Describe the activity, interest or relationship.
  • Identify whether there is an actual, potential or perceived conflict.
Managing Potential Conflicts

• Gather Relevant Information:
  • Identify the category: COI or COC.
    • If a COI, describe a plan for managing the conflict (a plan may include disallowance).
    • If a COC, describe the amount of time and effort the employee has committed to the external functions, how the employee will accomplish their UVM responsibilities, and their responsibility to utilize leave time when the conflict occurs.
Managing Potential Conflicts

• Develop an agreement – the employee agrees to x, y, z. Articulate steps for monitoring commensurate to the risk of the conflict. 

  Approving high dollar contracts vs. one-time purchase.

• Describe requirement to update if circumstances change.
• Both parties sign.
• Retain documentation for the life of the conflict.
Resources

• When you’re not sure:
  • Contact your Dean.
  • Contact the Vice President of Executive Operations at Gary.Derr@uvm.edu.
  • Contact the Office of Compliance & Privacy Services at compliance@uvm.edu.
  • For Sponsored Research, contact the Office of Research Integrity at conflict@uvm.edu.
**UVM Conflict of Interest/Conflict of Commitment**  
**Management Plan Documentation Form**

**INSTRUCTIONS:** Once disclosed, supervisors have 14 days to respond to the employee. UVM Policy states that employees are free to conclude that a conflict does not exist if they have not received a response within 14 days.

Tab through to enter data. Hit your space bar to check a box.

**IMPORTANT:** This form is not intended to be used for Sponsored Research Financial Conflicts of Interest (FCOI). That Policy can be found here: [https://www.uvm.edu/policies/grants/researchcoi.pdf](https://www.uvm.edu/policies/grants/researchcoi.pdf) and the contact information for FCOI is conflict@uvm.edu.

A copy of UVM’s Conflict of Interest/Conflict of Commitment Policy can be found here: [http://www.uvm.edu/policies/general_html/conflictinterest.pdf](http://www.uvm.edu/policies/general_html/conflictinterest.pdf)

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### Supervisor Information:

- **Name:**
- **Position/Job Title:**
- **Department/Unit/College:**
- **Phone:**
- **Email:**

### Employee Information

1. **Name:**
2. **Position/Job Title:**
3. **Department/Unit/College:**
4. **Phone:**  **Email:**

### Description

5. **What is the proposed activity:**
6. **What is the interest or with whom is the relationship:**
7. **What is the estimated TOTAL cost of the activity:**
8. **If not monetary, what is the alleged benefit to the entity/individual:**
<table>
<thead>
<tr>
<th>Determination</th>
</tr>
</thead>
<tbody>
<tr>
<td>9. The relationship poses a(n):</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td>OR □ No actual, potential or perceived conflict exists. If no conflict exists, jump to line 13, sign and file.</td>
</tr>
</tbody>
</table>
### Management Plan Actions

<table>
<thead>
<tr>
<th>Number</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>10.</td>
<td><strong>What actions are being taken to manage the situation?</strong></td>
</tr>
<tr>
<td></td>
<td>• For conflicts of interest, first address how the conflict can be eliminated. If eliminating the conflict is not possible, address how it will be managed and what type and frequency of reporting the employee is required to do and what monitoring will be done.</td>
</tr>
<tr>
<td></td>
<td>• For conflict of commitment, describe what steps the employee will take to assure that their university responsibilities will be prioritized, how their job duties will be completed, and how/when personal time will be used.</td>
</tr>
</tbody>
</table>

### Statement of Understanding

11. This management plan will remain active until the activity or the interest/relationship changes. If the relationship changes, the employee must file a new report.

### Signatures

<table>
<thead>
<tr>
<th>Number</th>
<th>Signature/Title</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>12.</td>
<td>Employee Acknowledgment:</td>
<td>I, the undersigned, agree to adhere to the requirements outlined in this Management Plan. I further agree to report any changes to this activity, or any new activities, to my supervisor as soon as circumstances change.</td>
</tr>
<tr>
<td></td>
<td>Signature/Title</td>
<td>Date</td>
</tr>
<tr>
<td>13.</td>
<td>Supervisor Approval:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Signature/Title</td>
<td>Date</td>
</tr>
<tr>
<td>14.</td>
<td>If warranted, Dean/VP Approval:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Signature/Title</td>
<td>Date</td>
</tr>
</tbody>
</table>

### *** For Supervisor/Designee Use Only ***

<table>
<thead>
<tr>
<th>Number</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>15.</td>
<td>A signed copy of this plan has been provided to the employee. (Provide a copy even if the determination is that no conflict exists.)</td>
</tr>
<tr>
<td>16.</td>
<td>This original document will be properly secured and retained. (Retain the original even if the determination is that no conflict exists.)</td>
</tr>
<tr>
<td>17.</td>
<td>This plan will be reviewed no later than ________________________ (date), or earlier if the circumstances change.</td>
</tr>
</tbody>
</table>

Additional information and contact information can be found in the [Conflict of Interest and Conflict of Commitment Policy](#) or in the [Financial Conflicts of Interest in Sponsored Research Policy](#).