

Conflict of Interest in Employment (Nepotism)

The nepotism policy indicates:

The basic criteria for appointment and promotion of all University employees shall be appropriate qualifications and performance. Relationship to another University employee by family, marriage, or domestic partnership shall constitute neither an advantage nor a deterrent to any individual in appointment, promotion, transfer, compensation, hours, or other conditions of employment, provided the individual meets and fulfills the appropriate University appointment requirements and standards. An employee of the University may not participate in any employment actions (see policy for definitions) or enter into a personal services contract with a family member (see policy for definitions). In addition, no employee may serve as the immediate supervisor for, or be in the chain of command of, a family member. Furthermore, no employee shall have the same immediate supervisor as a member of their family.

This Management Plan is required when seeking an exception to the Nepotism Policy. If an individual is to be assigned to a position that is under the supervision or control of a relative who has or may have a direct or indirect effect on the individual's progress or performance, or an individual is to be assigned to a position with the same immediate supervisor as a relative, a management plan must be submitted by the head of the organization unit (e.g., VP/Dean).

Form Instructions

The Management Plan must include the following and be submitted prior to any changes in reporting relationship:

- job descriptions for both individuals named in Section I below
- pre and post organizational charts

Section I: Individuals Involved

Employee 1 _____
NAME (PRINT OR TYPE) TITLE/DEPARTMENT

Employee 2 _____
NAME (PRINT OR TYPE) TITLE/DEPARTMENT

Nature of family or household relationship (select all that may apply)

- | | | | |
|---|---|--|--|
| spouse | child (biological, adopted, foster) | aunt | sister-in-law |
| domestic partner | stepchild | uncle | brother-in-law |
| mother | legal ward | niece | daughter-in-law |
| father | grandparent | nephew | son-in-law |
| sister | grandchild | mother-in-law | grandparent-in-law |
| brother | first cousin | father-in-law | grandchild-in-law |
| corresponding step relative (e.g. stepmother, stepsister) | corresponding relative to partner (e.g. partner's mother, partner's nephew) | other person employee legally responsible for | anyone who stood in loco parentis to employee as a child |

Nature of employment relationship

report to each other? have the same chain of command? report to the same person?

Acknowledgement

I accept and agree to the terms of this Management Plan.

Employee 1 _____
SIGNATURE (REQUIRED) DATE

Employee 2 _____
SIGNATURE (REQUIRED) DATE

Section II: Management Plan

Provide an outline of the supervision and evaluation procedures which will mitigate possible conflicts of interest:

Discuss and address reporting relationships, supervision, and evaluation which will assure there will be no decision making based upon relationships in promotion, compensation, hours, or other conditions of employment:

Describe the approval and review process for expenditures and travel which will eliminate any potential appearance of nepotism, conflict of interest, or conflict of commitment:

DEPARTMENT APPROVALS

Submitted by: _____
PRINT NAME OF DIRECTOR/CHAIR DATE

SIGNATURE OF DIRECTOR/CHAIR DATE

Approved by: _____
PRINT NAME OF VP/DEAN DATE

SIGNATURE OF VP/DEAN DATE

Submit this form (including all signatures) with job descriptions and organizational charts to:

Conflict of Interest and Commitment Office
300 East Market, Suite 300
Louisville, KY 40202
Or via email to coi@louisville.edu

CONFLICT OF INTEREST OFFICER AUTHORIZATION

Approved

Not Approved

Comments

REVIEWED BY _____
SIGNATURE DATE

For University Use Only

Date Received: _____ Initials: _____