

# Conflict Management Plan Guide

A Conflict Management Plan (CMP) is a written agreement that establishes measures to actively reduce, mitigate, or eliminate actual, potential, or perceived conflicts of interest and conflicts of commitment. Each CMP is tailored to the specific circumstances of the employee and the nature of the conflict(s). This guide is intended to support supervisors and employees in developing clear, effective, and compliant CMPs.

## Employee: Getting Started

1. Review your submitted Conflicts of Interest and Conflicts of Commitment Disclosure.
2. Meet with your supervisor to discuss the nature of the conflict, potential risks, and expectations for managing it.
3. Work collaboratively with your supervisor to develop a plan that addresses the conflict and ensures your institutional responsibilities are fully met.

## Supervisor: Getting Started

1. Review the employee's Institutional Conflicts of Interest and Conflicts of Commitment Disclosure, provided as an attachment in the Kualu Build email notification.
2. Meet with the employee to review the disclosed conflict and identify potential risks, obligations, and areas requiring management.
3. Work jointly with the employee to draft a plan that clearly addresses the nature of the conflict, potential risks to the institution, and strategies to manage or mitigate those risks.
4. Access the [Conflict Management Plan](#) form in Kualu Build.
5. Complete the Conflict Management Plan form, ensuring all agreed-upon conditions and safeguards are clearly described. Upload any relevant supporting documentation.

## Contents of Conflict Management Plans

In general, a CMP addresses the following topics.

### All Conflicts

- **Clearly Define the Conflict:** Describe the conflict in specific, concrete terms. Include relevant details such as scope, duration, and expected time commitment (e.g., hours per week). Avoid ambiguity.

- **Eliminate Supervisory Conflicts:** The employee must not supervise, evaluate, or influence university personnel or students involved in the conflict. Alternate supervisory arrangements must be established where necessary.
- **Establish Performance Safeguards:** Confirm that the employee's primary institutional responsibilities will be fully met and will not be delayed, diminished, or reassigned due to the conflicting activity.
- **Require Periodic Certification:** Implement regular written attestations (e.g., quarterly) in which the employee confirms compliance with all CMP conditions, including time and activity limitations.
- **Assign Independent Oversight:** Designate an impartial reviewer to monitor compliance, workload balance, and overall adherence to the plan.
- **State Consequences of Noncompliance:** Clearly outline that failure to comply with the CMP may result in revocation of activity approval and potential disciplinary action in accordance with university policy.
- **Maintain Detailed Documentation:** Retain documentation, along with the CMP, as part of the employee's record for as long as the conflict exists. All documentation must be maintained with sufficient detail to support audit review.
- **Renew the Approved Management Plan:** An approved management plan is valid for one (1) year and must be renewed annually for so long as the identified conflict exists. Employees must disclose any changes in circumstances as they occur.

Conflict Management Plans vary depending on the employee's conflict. Examples include:

### **Personal Relationships**

- **Disclose and Document the Relationship:** Clearly describe the nature of the personal relationship and its relevance to the workplace or academic environment.
- **Remove Decision-Making Authority:** Ensure the employee does not participate in decisions affecting the related individual (e.g., hiring, evaluation, grading, compensation).
- **Implement Oversight Measures:** Assign an independent party to oversee decisions and interactions where conflicts may arise.

### **External Activities**

- **Define Time Commitment Expectations:** External activities must not interfere with university responsibilities. All primary duties must be fully performed.

- **Require Advance Approval:** Any external activity occurring during standard university operating hours must receive prior written approval through the appropriate institutional process.
- **Prohibit Overlap with University Time:** External activities must occur outside assigned work hours or during approved leave. University work time may not be used.
- **Restrict Use of University Resources:** University resources (e.g., email, phone, computer, etc.), including systems (e.g., RIS), may not be used for external activities unless explicitly authorized.

### Internal Activities

- **Clarify Time and Effort Expectations:** Internal activities must not interfere with the employee's primary institutional responsibilities.
- **Require Advance Approval for Absences:** Prior written approval is required for any internal activity conducted during standard working hours.
- **Prevent Time Overlap:** Internal activities must occur outside normal work hours or during approved leave unless formally authorized.
- **Limit Use of Institutional Resources:** Use of university systems or resources must align with institutional policies and any applicable approvals.
- **Ban use of university resources if using RIS systems for non-research work:** Explicitly prohibit use of university RIS systems for an internal activity unless formally authorized through RIS.

### Significant Financial Interests

- **Disclose Financial Interests:** Clearly identify the nature and extent of the financial interest and its relationship to the employee's institutional role.
- **Separate Decision-Making Authority:** The employee must not participate in decisions that could directly or indirectly affect the financial interest.
- **Implement Independent Review:** Assign oversight to ensure objectivity in research, procurement, or other relevant activities.
- **Ensure Transparency:** Require disclosure of the financial interest in relevant publications, presentations, or institutional reporting, as applicable.

A well-developed CMP promotes transparency, protects the integrity of institutional activities, and supports employees in managing conflicts responsibly. If you have any questions or concerns, please reach out to the Office of Risk Management and Compliance (ORMC) at [compliance@uah.edu](mailto:compliance@uah.edu). Additional information can be found in the [Institutional Conflicts of Interest and Conflicts of Commitment Policy \(06.09.05\)](#) and on the [ORMC website](#).