

**COI/C EXAMPLE #1 - NO RISK, NO NEED TO DISCLOSE, NOT A CONFLICT OF INTEREST**

UW Employee owns \$10,000 equity in a US company that is involved in the design and manufacturing of aerospace vehicles. The UW Employee is a full-time staff member in School of Pharmacy, and their job duties have zero overlap with the goals or interests of the company. The Employee has a significant financial interest, but this does not adversely affect, compromise, or is incompatible with the obligations of the Employee to the University.

The Employee would not need to disclose this (financial) conflict annually as it is not related to their UW duties.

**COI/C EXAMPLE #2 – LOW RISK, DISCLOSED, AND MANAGED**

UW Employee owns \$10,000 equity in a US company that is involved in the design and manufacturing of aerospace vehicles. The UW Employee is an Associate Professor in the Department of Chemical Engineering, and their research expertise includes several areas that may overlap with the interests of the company. The Company has reached out to the UW Employee to inquire about third-party testing on several battery prototypes, as well as expressed an interest in licensing a patent that the UW Employee developed and patented at UW. The Employee has a significant financial interest, but this does not adversely affect, compromise, or is incompatible with the obligations of the Employee to the University.

The Employee would disclose this potential financial conflict annually, and would need to disclose the proposed testing and licensing prior to starting either event. This situation would most likely be sufficiently addressed with a management plan. Additionally, it should not be a conflict of commitment so long as the time, facilities, and resources utilized in testing are not a direct conflict with the Employee's University job.

**COI/C EXAMPLE #3 – MEDIUM RISK, DISCLOSED, AND MANAGED**

UW Employee, an employee of UW's Fleet Services, and their spouse own a 20% interest in the local Enterprise Rent-A-Car business. Due to the low availability of new vehicles for purchase, UW's Fleet Services often runs out of available vehicles for UW employees to rent. To cover the shortage, they are planning on working with a local rental car company to obtain a discount and simplified process for UW Employees to rent vehicles in exchange for that company being the exclusive rental company for UW rentals in the local market.

The Employee would disclose this conflict of interest. The situation would most likely be sufficiently addressed with a management plan. The specifics of the management plan would require the UW employee to recuse themselves from being involved in any decision that could potentially involve the local rental car market in order to avoid the perception that Enterprise Rent-A-Car is being given any preferential treatment, including but not limited to, serving on the committee to evaluate the proposals submitted by the local rental companies and from negotiating with the rental company selected as a result of the request for proposals.

**COI/C EXAMPLE #3 – HIGH RISK, UNDISCLOSED, UNMANAGED, CONFLICT**

UW Employee owns \$10,000 equity in a US company that is involved in the design and manufacturing of aerospace vehicles. The UW Employee is an Associate Professor in the Department of Chemical Engineering, and their research expertise includes several areas that may overlap with the interests of the company. A second entity has reached out to the Employee and expressed an interest in licensing a patent that the UW Employee developed and patented at UW. Additionally, they wish to invite the Employee to their corporate headquarters to speak on a symposium of battery

prototypes and the future of aerospace vehicles. The corporation wishes to discuss a possible research opportunity with the Employee, in which their time and ideas would be greatly compensated as a consultant. The corporate headquarters and symposium are both located internationally. The company has encouraged the Employee to not share this information with anyone until the contracts are signed.

Certain countries are using so-called "Talent Recruitment Programs" to engage and attract scientists, engineers, academics, researchers, and entrepreneurs of all nationalities working or educated in the United States to join the foreign sponsored program and transfer their knowledge and expertise to the foreign state. While this alone may not be problematic, it is often coupled with nefarious intentions that may cause a researcher to violate University, state, or federal regulations. Not disclosing this potential conflict could result in major ramifications for the Employee.