

This Policy must be placed on your Organization's Letterhead before resubmitting it to DEQ

Instructions: *This policy should address situations in which any of grantee's members or employees may directly or indirectly benefit from the grantee's disbursing of State funds and should include actions to be taken by the grantee or the individual, or both, to avoid conflicts of interest and the appearance of impropriety.*

This document is intended as an aid to assist governmental and non-State entities in establishing conflict of interest policies. It is not intended to be used verbatim, but rather to serve as a template for organizations as they craft their individual conflict of interest policy. This nongovernmental entity example includes definitions of what is considered unacceptable, and the consequences of any breaches thereof. Each organization that chooses to use this template should take care to make changes that reflect the individual organization.

Governmental entities may utilize this as an example but will need to modify the document to be applicable to their status as a governmental entity.

CONFLICT OF INTEREST POLICY

1.0 CONFLICT OF INTEREST DEFINED:

A conflict of interest is defined as an actual or perceived interest by a (Staff Member/Board Member) in an action that results in, or has the appearance of resulting in, personal, organizational, or professional gain. A conflict of interest occurs when an Employee/Board Member has a direct or fiduciary interest in another relationship. A conflict of interest could include:

- 1.1 Ownership with a member of the Board of Directors/Trustees or an Employee where one or the other has supervisory authority over the other or with a client who receives services.
- 1.2 Employment of or by a member of the Board of Directors/Trustees or an Employee where one or the other has supervisory authority over the other or with a client who receives services.
- 1.3 Contractual relationship with a member of the Board of Directors/Trustees or an Employee where one or the other has supervisory authority over the other or with a client who receives services.
- 1.4 Creditor or debtor to a member of the Board of Directors/Trustees or an Employee where one or the other has supervisory authority over the other or with a client who receives services.
- 1.5 Consultative or consumer relationship with a member of the Board of Directors/Trustees or an Employee where one or the other has supervisory authority over the other or with a client who receives services.

The definition of conflict of interest includes any bias or the appearance of bias in a decision-making process that would reflect a dual role played by a member of the organization or group. An example, for instance, might involve a person who is an Employee and a Board Member, or a person who is an employee and who hires family members as consultants.

2.0 EMPLOYEE RESPONSIBILITIES:

It is in the interest of the organization, individual staff, and Board Members to strengthen trust and confidence in each other, to expedite resolution of problems, to mitigate the effect and to minimize organizational and individual stress that can be caused by a conflict of interest.

Employees are to avoid any conflict of interest, even the appearance of a conflict of interest. This organization serves the community as a whole, rather than only serving a special interest group.

The appearance of a conflict of interest can cause embarrassment to the organization and jeopardize the

credibility of the organization. Any conflict of interest, potential conflict of interest or the appearance of a conflict of interest is to be reported to your supervisor immediately. Employees are to maintain independence and objectivity with clients, the community, and organization. Employees are called to maintain a sense of fairness, civility, ethics, and personal integrity even though law, regulation, or custom does not require them.

3.0 ACCEPTANCE OF GIFTS:

Employees, members of employee’s immediate family, and members of the Board are prohibited from accepting gifts, money, or gratuities from the following:

- 3.1 Persons receiving benefits or services from the organization.
- 3.2 Any person or organization performing or seeking to perform services under contract with the organization.
- 3.3 Persons who are otherwise in a position to benefit from the actions of any employee of the organization.

Employees may, with the prior written approval of their supervisor, receive honoraria for lectures and other such activities while on personal days, compensatory time, annual leave, or leave without pay. If the employee is acting in any official capacity, honoraria received by an employee in connection with activities relating to employment with the organization are to be paid to the organization.

Version History

Version Date	Changes
2023.12.12	Reformatted and renumbered document
2020.02	Original document