

Learning Exercise Answer Key

1. An employee's brother-in-law has a catering business. The employee is procuring catering services for an evening business meeting.

A management plan should be in place stating that the employee cannot participate in the procurement process including vendor selections, purchases, negotiations and payment.

2. You work in Facilities and are responsible for ordering materials. Your family owns a hardware store, which sells many of the materials you order.

A management plan should be in place stating that the employee cannot participate in the procurement process including vendor selections, purchases, negotiations and payment.

3. You work at the University as an Administrative Assistant in the History Department. Facilities solicits bids for building materials they are purchasing for a project and your brother's business returns the lowest bid.

Your institutional responsibilities are not related to your brother's business and should not be as long as you are in the current position. You are not in a position to influence any decisions related to his business. No disclosure or management plan is needed.

4. Mr. Smith is a Research Assistant at USC and also provides technical advice (consulting) for Super Chemical, Inc. The consulting relates to developing products that use technology related to the research he is involved with at USC. Mr. Smith plans to commit 10 hours per week on this consulting work.

Mr. Smith must disclose the consulting work. A management plan should be developed that clearly differentiates the work being performed for USC versus the work for Super Chemical. This will be a customized management plan. Some of the questions that should be answered include:

- Does Super Chemical do business with USC or subcontract on any USC grants? How does that relate to Mr. Smith's responsibilities?
- Does Mr. Smith hire or supervise employees/students for USC and/or for Super Chemical?

- Is any USC equipment or facilities being used by the employee for Super Chemical work?

5. Ms. Jones works in the Development Office and meets regularly with USC donors to solicit gifts for the University. Ms. Jones also volunteers for the Riverbanks Zoo in event planning. As part of her volunteer work, she contacts some of the individuals who are also USC donors to solicit donations for the Zoo's events.

This is a direct conflict of interest that likely affects Ms. Jones' ability to perform her institutional responsibilities. Ms. Jones should have a management plan that requires her to discontinue the activities with the Zoo that directly conflict with her institutional responsibilities.

6. An employee is dating an individual that is the Marketing Representative for a company that is bidding on a USC request for proposal (RFP) for software. The employee is responsible for managing the project.

The employee must disclose the personal relationship. A management plan would be developed removing the employee from any vendor selections, purchases, negotiations and payment with the company.

7. You are a full-time, 40 hour per week USC employee. You also own 3 personal businesses; (1) DJ, (2) movie editor, (3) elementary school band instructor. You typically have gigs two nights during the weekdays and once every weekend for the DJ business. You spend on average 12 hours per week. You spend 20 hours per week editing movies and you spend 2 hours twice per week as band instructor for the local elementary school.

You must disclose the outside employment. Due to the number of hours you spend on the outside employment, a management plan must be developed that clearly outlines how the outside employment time will be balanced with your institutional responsibilities. You may need to reduce outside employment hours if they interfere with your ability to adequately perform your USC job responsibilities.

8. You are the department human resource representative. Your daughter was recently hired into the department.

You must disclose this personal relationship because it could affect or appear to affect administrative decisions. A management plan must be established and should include appointing an independent individual, who does not report to you, to be responsible for any HR activities related to your daughter's employment.

9. You are an engineer for USC and also have 40% equity in an outside engineering firm. You hire and supervise engineering students in a USC lab. Some of the students you supervise at USC also consult for the outside engineering firm.

You must disclose your financial interest in the entity. A management plan must be developed. This will be a customized management plan. Some of the questions that should be answered include:

- Does the firm do business with USC or subcontract on any USC grants? How do those activities relate to your responsibilities?
- How are the students accounting for their work time at USC and at your firm? Is there somebody independent from the firm verifying the time?
- Is any USC equipment or facilities being used for the firm's work?

10. You purchase artwork for the USC Libraries. Your former college roommate is a well-known art dealer that does business with the University.

You must disclose this relationship. A management plan must be developed that will remove you from any vendor selections, purchases, negotiations and payment between the University and your friend.