**SAMPLE MITIGATION MEMORANDUM FOR NON-USF HEALTH FACULTY** (USF Health faculty must contact the Office of Faculty Affairs directly to receive a mitigation memo)

**Date**:

**To**: USF Research Integrity and Compliance

**From**:

**Re**: Plan for mitigation of nepotism on future contracts and grant proposal submissions

Drs. \_\_\_\_\_\_\_\_\_\_\_ and \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ are both faculty members in the Department of \_\_\_\_\_\_\_\_\_. They are (describe the related persons’ relationship) and conduct research in the same substantive area of \_\_\_\_\_\_\_\_\_\_\_\_\_\_. Frequently, Drs. \_\_\_\_\_\_ and \_\_\_\_\_\_\_ include each other in the proposals that they develop for submission. Typically, their strengths are complimentary and allow for a clear division of labor. Dr. \_\_\_\_\_\_\_\_\_ oversees \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ while Dr. \_\_\_\_\_\_\_\_\_\_\_\_\_ oversees\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_. Given their personal relationship, this memorandum proposes a plan to mitigate any issues and concerns related to nepotism should a study on which they are both investigators be funded.

First, in terms of supervisory responsibility, on contracts and grants on which Dr. \_\_\_\_\_\_\_\_\_\_ is listed as the Principal Investigator, s/he will have no supervisory responsibility for Dr. \_\_\_\_\_\_\_\_\_ related to a grant or his/her other responsibilities in the Department. Dr. \_\_\_\_\_\_\_\_\_\_, is supervised by \_\_\_\_\_\_\_\_\_\_\_\_\_, the (describe supervisor’s title) and this line of supervision will be maintained throughout the course of a grant. Dr. \_\_\_\_\_\_\_\_\_\_\_ is supervised by \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, the (describe supervisor’s title). Additionally, Dr. \_\_\_\_\_\_ will have no input regarding Dr. \_\_\_\_\_\_\_\_\_\_'s work assignments nor will s/he make any recommendations or decisions affecting his/her subsequent appointments, retention, evaluation, or salary. Similarly, for contracts and grants on which Dr. \_\_\_\_\_\_\_\_\_ will serve as the Principal Investigator, s/he will have no input regarding Dr. \_\_\_\_\_\_\_\_\_\_'s work assignments nor will s/he make any recommendations or decisions affecting his/her subsequent appointments, retention, evaluation, or salary. This separation of supervisory responsibility will ensure that the issue of nepotism will be mitigated.

Second, in terms of the fiscal management of a grant or contract, should an award be received, any grant expenditures associated with Drs. \_\_\_\_\_\_\_\_\_\_ or \_\_\_\_\_\_\_\_\_\_ (e.g., travel approvals, purchase of equipment or software) will be reviewed and approved by \_\_\_\_\_\_\_\_\_\_\_\_ prior to implementation. In addition, \_\_\_\_\_\_\_\_\_\_\_\_ will review and sign off on the monthly financial reconciliations of their grants. These steps should ensure that any fiscal concerns associated with nepotism are mitigated. I am confident that these steps will alleviate any conflict of interest.

**Signatures**

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_

Dr. \_\_\_\_\_\_ (Related Person #1)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_

Dr. \_\_\_\_\_\_ (Related Person #2)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_

Dr. \_\_\_\_\_\_\_\_\_\_ (Department Chair of Related Person #1)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_

Dr. \_\_\_\_\_\_\_\_\_\_ (Department Chair of Related Person #2)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_

Dr. \_\_\_\_\_\_\_\_ (Dean or Associate Dean for Research of Related Person #1)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_

Dr. \_\_\_\_\_\_\_\_ (Dean or Associate Dean for Research of Related Person #2)