

1 COLORADO STATE UNIVERSITY
CONFLICT OF INTEREST / CONFLICT OF COMMITMENT
GUIDELINES FOR ASSESSMENT

The questions below relate back to the Annual Report of Conflicts of Interest and/or Commitment. Not all questions will be pertinent to each employee.

I. Financial and Equity Interest

The purpose of the questions in this section is to assist the department chair/ director in identifying and evaluating an individual's interest/role in an outside entity (for example, a start-up company or professional association) and to determine whether a management plan should put into place.

For each company or organization listed on the Survey, consider the following questions:

- 1) Does the employee's financial interest in the company or organization exceed \$5,000.00? If yes, a management plan is needed.
- 2) Does the employee's equity interest exceed 5%? If yes, a management plan is needed.

II. Fiduciary Responsibilities

The purpose of the following questions is to assist the chair/ director in evaluating a CSU employee's use of CSU students in outside entities for which the employee has a manager or director role, and identifying potential opportunities for redirecting students or restricting publication to advantage outside entities

- 1) does this entity hire CSU employees? If yes, a management plan is needed.
- 2) does this entity hire CSU students? If yes, a management plan may be needed.
 - a) Are there any constraints or restrictions imposed on the reporting of student work? If yes, a management plan is needed.
 - b) Are you the advisor to any of these students? If yes, a management plan is needed.
- 3) is the student/ employee the inventor, co-inventor or creator of intellectual property that has been licensed through the CSURF to the external entity? If yes, a management plan is needed.
- 4) is the intellectual property licensed to an external entity the subject matter of or related to any sponsored research project with which the employee is involved? If yes, a management plan is needed.

The purpose of the following questions is to identify potential opportunities for use of state resources to be inappropriately allocated to the outside entity, to assist the employee in successfully balancing competing fiduciary obligations and to assure that the University and its employees can meet their obligations under federal regulations mandating time/effort reporting. This is especially true for each external entity that the CSU employee holds a position on an advisory board, on the board of directors or as an employee, identify the following:

- 5) does this entity support CSU research? If yes, a management plan is needed.
- 6) does this entity purchase CSU services? If yes, a management plan is needed.
- 7) does this entity use university facilities? If yes, a management plan is needed.
- 8) does this entity provide services to CSU? If yes, a management plan is needed.
- 9) has the external entity paid for or reimbursed the employee for travel? If yes, describe?

III. Consulting Relationship

For each external entity for which the employee acts as a consultant, please answer the following questions:

- 1) will University facilities/equipment be used in connection with the consulting services. If yes, a management plan is needed.
- 2) has the external entity paid fees to the University for the use of facilities and/or equipment under a facilities use agreement or lease agreement? If yes, a management plan is needed.
- 3) does an aspect of the consulting activity interfere with, compromise or exploit any aspect (research, teaching, service) of the employee's obligations to CSU? If yes, a change will be needed (consult OGC)
- 4) will the terms of the consulting relationship restrict in any way the release of information or other dissemination of research results by faculty/researchers involved in the project? If yes, a management plan is needed.

IV. Conflict of Commitment

Does an employees outside interactions (consulting, volunteering, other) interfere with or reasonably could interfere with their ability to carryout their obligations to the institution? If yes, a management plan is needed.