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

The questions below relate back to the Annual Role and Responsibility Survey. The necessity to complete each of the sections below will depend upon the individual’s initial answers on the Annual Role and Responsibility Survey. 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 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 the individual is in a position to affect false entries to University accounting systems or misclassify purchases for either personal benefit or to benefit the outside entity with which the individual is involved.)

For each company or organization listed on the Survey, please answer the following questions: 1

1) Does the employee’s financial interest in the company or organization exceed $10,000.00?

2) How is that financial position achieved? (For example – employment, consulting fees, stocks/dividends, stock options or a contract for services.)

3) Does the employee’s equity interest exceed 5%?

4) What is the nature of the equity interest? Stocks/Stock Options? Convertible Security? Other?

5) Is the stock publicly traded?

II. Fiduciary Responsibilities

(The purpose of the following questions is to assist the supervisor 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 The thresholds indicated in this and the next question ($10,000.00 and 5%, respectively) are driven predominantly by federal regulation which requires disclosure for principal investigators on federally sponsored research projects. The Board of Governors and Colorado State University have voluntarily adopted those levels for disclosure for employees at CSU.

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For each external entity within which the CSU employee sits on an advisory board, sits on a board of directors or holds an employment position, please answer the following questions:

1) does this entity hire CSU employees? If yes, please identify such employees and describe your professional relationship to each employee.

2) does this entity hire CSU students? If yes, please identify such students and describe your professional relationship to each student.
   a) Are there any constraints or restrictions imposed on the reporting of student work?
   b) Are you the advisor to any of these students?

3) is the employee the inventor, co-inventor or creator of intellectual property that has been licensed through the CSURF to the external entity? If yes, please describe.

4) is the intellectual property licensed to the external entity the subject matter of or related to any sponsored research project with which the employee is involved? If yes, please describe.

(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 faculty can meet their obligations under federal regulations mandating time/effort reporting.)

5) does this entity support CSU research? If yes, please identify each research project supported and describe any role you may have related to the research. Does this entity participate in deciding the direction of the supported research?

6) does this entity purchase CSU services? If yes, please attach a copy of the pertinent services agreement and identify any role you may have in providing those services.

7) does this entity use university facilities? If yes, please attach a copy of the pertinent lease agreement or facilities use agreement.

8) does this entity provide services to CSU? If yes, please attach a copy of the pertinent agreement/purchase order and identify any role you may have in purchasing these services for CSU.

9) has the employee received any loans from the external entity for which the balance exceeded $500?

10) has the employee received any gifts from the external entity the value of which exceeds $50?

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11) has the external entity paid for or reimbursed the employee for travel? If yes, describe?

12) is the entity non-profit?

III. Consulting Relationship

(The following questions are intended to identify potential opportunity for inappropriate allocation of state resources and help the University balance the competing contractual obligations of its employees who also maintain consulting roles.)

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, please describe the required space, services, equipment and supplies.

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?

3) has the external entity paid for or reimbursed the employee for travel? If yes, describe.

4) does the employee have a written consulting agreement?

5) describe the frequency and nature of the consulting activities.

6) describe how the consulting activities differ from or is separate from the employee’s research or other assigned duties.

7) 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, please explain.

8) will any of the external entity’s personnel work on the research or in university facilities?

9) does the consulting relationship provide the opportunity for the outside entity to use the CSU name and/or logo?

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IV. Intellectual Property Rights

1) does the employee receive royalties or other benefits from the sponsor of any of his/her research projects, intellectual property or patents? If yes, please describe.

2) has the employee provided appropriate notification of works in a timely manner?

V. Conflict Management Plans

Does the employee have an approved and active plan for management or elimination of a potential conflict of interest? If so, please attach a copy of the relevant documents.

VI. Joint Appointments

Colorado law requires agreements between state entities when more than one state institution, agency or department employs the same individual. See C.R.S. 24-2-103. If the employee indicates that he/she is employed by another state entity the Office of General Counsel should be contacted so that the appropriate documentation can be put into place.

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2  Section J.4 of the Academic Faculty and Administrative Professional Manual requires that all “members must provide notification of the creation of Works to their appropriate administrator(s)...”

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