I. INTRODUCTION

The University mission is enhanced by the sustained, active interaction of members of the University community with business, government, not-for-profit groups, professional societies, academic institutions, and other individuals and organizations. These many interactions and activities can, however, create the potential for Conflicts of Interest or Commitment in which University Employees' external activities or interests could influence—or could appear to influence—the manner or extent to which those individuals carry out their University responsibilities. Such influences—real or apparent—may undermine public and professional confidence in the University, diminish the University's ability to accomplish its mission, and violate state or federal law.

Conflicts of Interest and Conflicts of Commitment can be complex and nuanced. As such, this policy outlines the University's approach to identifying, evaluating, and managing potential conflicts. This policy is intended to enable Employees to recognize actual, apparent, or potential Conflicts of Interest or Commitment and act to protect themselves and the University from inappropriate influence or bias through disclosure, evaluation, management, and if required, elimination of the conflict. In determining whether a Conflict of Interest or Commitment exists, an important consideration is whether an independent observer might reasonably conclude the Employee's professional actions or decisions are influenced by considerations of personal gain, financial or otherwise. This policy does not attempt to illustrate all possible situations that require
disclosure. Employees are expected to be vigilant and ethical in all dealings to ensure potential conflicts are addressed quickly and appropriately.

II. DEFINITIONS

A. **Conflict of Interest:** A Conflict of Interest arises when an Employee has a personal, financial, or professional interest that could, or could appear to, compromise or affect the Employee’s professional judgment in exercising their duties to the University. Conflicts of Interest may include when an Employee:

1. is in a position to influence the University’s business, administrative, academic, or other decisions in ways that could result in personal or Family Member benefits or gains;
2. acts in opposition to the interests of the University, including by competing directly with the University, or diverting opportunities the Employee knows or should know the University is or may be pursuing; and/or
3. uses their University position for personal or Family Member benefit or gain at the expense of the University or otherwise in violation of this or other University policies.

B. **Conflict of Commitment:** A Conflict of Commitment usually involves an issue of time allocation that creates a risk of an Employee dividing loyalty between the University and an outside entity or when an Employee’s non-University activities could, or could appear to, unreasonably interfere with the Employee’s loyalty or commitment to their University duties and responsibilities. Such interference can include, but is not limited to, performance of outside activities (i) during work hours or assigned schedule for the University, or (ii) to a degree that renders the Employee incapable of satisfactorily performing their responsibilities to the University. Conflicts of Commitment may occur even though an Employee’s outside activities involve comparatively little time.

C. **Consulting:** Providing expert knowledge, advice, or service to an entity or person in a professional or technical field in exchange for compensation or other benefits. Consulting services are often desirable because of the Employee’s relationship to the University and typically involve one’s specialized knowledge, skills, or expertise to offer insights, recommendations, or solutions related to a specific field, industry, or domain. There are many types of Consulting relationships, and the precise form may vary. However, in general, when Consulting, an individual agrees to use their professional capabilities to further the agenda of a third party in return for an immediate or prospective gain.

D. **Employee:** Any individual employed by the University, including full- and part-time faculty; staff; physician, dental, and pharmacy residents; student Employees; temporary Employees; and any other category enumerated in University policy.
E. **Family Member:** Any person with whom an Employee has a familial or guardianship relationship, including a spouse, domestic partner, parent, guardian, step-parent, child, step-child, son-in-law or daughter-in-law, brother, sister, aunt, uncle, niece, nephew, first-cousin, grandparent, grandchild, brother-in-law or sister-in-law, or any persons living in the same household.

F. **Financial Interest:** Anything of monetary value received from an outside entity, including but not limited to payments for services, income, royalties, equity interests, benefits, or potential gain that an Employee holds in a particular financial arrangement, transaction, or decision whether or not such value is readily discernible.

G. **Gift:** Anything of value given or received without return payment. A Gift may include but is not limited to cash or cash equivalents, meals, tickets, travel or hotel expenses, entertainment, charitable contributions, or donations.

H. **Professional Service:** Any services rendered by an individual to persons or organizations external to the University that are related to but not part of the Employee’s University responsibilities. These activities may be paid or unpaid, part-time or full-time, voluntary relationships, positions, or appointments at any entity other than the University, including for-profit, not-for-profit, governmental, domestic or international organizations.

III. **POLICY STATEMENT**

A. **Conflicts of Interest or Commitment**

The University is committed to fulfilling its mission with integrity, in full compliance with state and federal ethics and conflicts of interest laws and regulations and in accordance with Idaho State Board of Education policies. All Employees have an obligation to fulfill their commitments of time and intellectual energy in support of the University's mission, commensurate with the terms of their appointments. Additionally, all Employees shall endeavor to be free of actual or apparent Conflicts of Interest or Conflicts of Commitment at all times.

B. **Private Consulting and Outside Employment**

Employees may engage in Consulting and outside employment activities so long as such activities do not violate the requirements of this policy. If Consulting or outside employment results in a conflict between University employment and an outside interest, the Employee must act in the best interest of the University. In all private Consulting engagements, the client must be informed that the Employee is acting as a private consultant, that the University is in no way party to the contract, and that the University is neither liable nor responsible for the performance thereof. Additionally, identification of the
University as the Employee's employer and of the Employee's position at the University is permitted, provided that such identification is not used in a manner that implies sponsorship or endorsement by the University.

C. **Use of University Resources for Personal Gain**

University resources (beyond incidental use) shall not be used for personal gain or commercial activities, including but not limited to Consulting or outside employment. No University personnel, laboratories, space, services, equipment, or intellectual property may be used in connection with Consulting or outside employment without an approved conflict management plan and prior written authorization from the Chief Financial Officer or their designee, which may require fair market compensation for use of such resources.

D. **Gifts**

Employees may not accept or solicit any Gift, favor, reward, or service that might influence or appear to influence the Employee in the discharge of the Employee's official duties or that the Employee knows or has reasonable cause to believe is being offered with the intent to influence their conduct or reward the Employee for official action taken. Notwithstanding this prohibition, Employees may accept trivial benefits and Gifts that are not in excess of $50.00 provided that such benefit or Gift involves no substantial risk of undermining the Employee's impartiality.

**IV. AUTHORITY AND RESPONSIBILITIES**

A. **All Employees**

All Employees must conduct their affairs so as to avoid or minimize conflicts of interest or commitment and must respond appropriately when conflicts arise. Unless exempted by this policy, Employees must complete and submit an annual conflict disclosure form whether or not the Employee has any situation that presents an actual, potential, or apparent conflict to disclose. Employees must also disclose on an ad hoc basis to their supervisor any current or prospective situations that may constitute an actual, potential, or apparent Conflict of Interest or Commitment.

B. **Supervisors**

Supervisors must ensure Employees in their reporting line are familiar with this policy. Supervisors must review annual and ad hoc disclosures, evaluate the nature and extent of potential conflicts, draft appropriate management plans and, if necessary, consult with other University officials for further review and discussion prior to plan approval.
Supervisors also have an ongoing obligation to ensure conflict management plans are appropriately followed.

C. **Vice Presidents**

Vice Presidents are responsible for ensuring supervisors are aware of their obligations under this policy. Vice Presidents must also review and approve all conflict management plans within their line of authority.

D. **Chief Compliance Officer**

The Chief Compliance Officer or designee is responsible for implementing procedures for annual and ad hoc conflict disclosures; providing guidelines and resources for disclosure review; assisting supervisors and Vice Presidents with the review of disclosures as requested; assisting supervisors and Vice Presidents with the development of management plans that reduce, eliminate, or manage identified conflicts; and convening conflict review committees when needed.

E. **Conflict Review Committee**

A conflict review committee may be established by the Chief Compliance Officer or the President. The role of this committee includes assisting the Chief Compliance Officer by reviewing conflict disclosures, determining when a conflict exists, providing technical expertise, recommending appropriate actions to eliminate, reduce, or manage such conflicts; and providing advice, when requested, to the President when considering an appeal. Members of the committee should include Employees or others who have relevant experience or training to assess the conflict and steps to manage the conflict.

V. **CONFLICT DISCLOSURE**

The key mechanism for implementation of this policy is disclosure. Disclosure allows the University and the Employee to determine whether a situation presents a Conflict of Interest or Commitment and take appropriate action based on the determination. All Employees, unless exempted by this policy, must annually complete and submit a Conflict of Interest/Conflict of Commitment Disclosure Report. In addition, all Employees, including those exempted from the annual disclosure requirement, are required to make ad hoc disclosures of any actual, potential, or apparent conflicts of interest or commitment whenever they occur.

A. **Annual Disclosure Requirement**

1. Annually, all Employees, unless exempted, must complete and submit a Conflict of Interest/Conflict of Commitment Report in accordance with the reporting procedure established by the Chief Compliance Officer. The purpose of the annual disclosure is to
solicit information that allows the University to determine whether an Employee has an actual, potential, or apparent conflict as defined in this policy.

2. The Employee’s completion of the annual disclosure certifies that:
   a. The Employee does not have any interests or outside commitments which require disclosure;
   b. The Employee has a potential Conflict of Interest or Conflict of Commitment which has been disclosed previously and there has been no change which requires an updated disclosure; or
   c. The Employee has new interests which may create a Conflict of Interest or Conflict of Commitment and requires disclosure.

3. General Exemptions to Annual Disclosure Requirement
   a. The following groups of Employees are exempt from the annual disclosure requirement:
      1. Adjunct faculty members
      2. Student Employees
      3. Temporary or special project non-classified Employees
   b. Employees who are not required to complete an annual disclosure must still submit a timely ad hoc disclosure if they have an actual, apparent, or potential conflict to report.

B. Ad Hoc Disclosure Requirement

   Employees must also disclose to their supervisor on an ad hoc basis, within thirty (30) days of becoming known, current or prospective situations that may constitute an actual, potential, or apparent conflict. Following disclosure, the Employee and supervisor must complete the Disclosure Review and Management process as outlined in this policy prior to the Employee engaging in an activity that may be deemed an actual, apparent, or potential conflict.

C. Outside Activities Related to Licensure, Regulatory, or Accreditation Requirements

   1. Some Employees, particularly health sciences faculty, may be required to engage in clinical or other outside employment activities as part of licensure, regulatory, or professional program accreditation requirements. These activities may involve working in healthcare facilities or other settings for the purpose of maintaining clinical placement sites for students and related activities and may result in financial compensation for such work. In cases where faculty members are fulfilling these
professional obligations, their involvement shall be deemed in compliance with this policy provided that the following conditions are met:

a. The Employee’s involvement is in accordance with any applicable licensing, regulatory, or accreditation guidelines;

b. The Employee discloses their participation to and receives authorization from their supervisor prior to engaging in such activities; and

c. The Employee’s University duties are not compromised by their involvement in external activities related to licensure requirements.

2. Colleges may, with review and approval by the Chief Compliance Officer, create procedures that specifically address any such licensure, regulatory, or accreditation requirements related to outside clinical work and how those requirements are operationalized by Employees within the college.

D. Examples of Conflicts of Interest that Require Disclosure

1. Related Outside Interest

An Employee or Family Member’s personal or Financial Interest in an entity engaged in University business or research activities. This may include but is not limited to Consulting arrangements, research activities, University contracts and agreements, or other business relationships.

2. Related Purchase/Sale Interest

An Employee or Family Member’s Financial Interest in an entity involved in a University purchase or sale whenever the Employee is in a position to recommend or approve the purchase or sale.

a. Requiring or recommending the Employee’s own textbook or other teaching aids, materials, software, equipment, or the like to be used in connection with University instructional programs from which the Employee receives income may be permissible with disclosure and an approved conflict management plan.

3. Position with a Related Interest

The holding of an executive or officer position in, or serving as a member of, the board of directors of an entity engaged in University business or research activities.

4. Inventor Equity Interest and/or Business Participation

Participation as an employee, officer, board member, or owner in an entity which has, or wishes to have, rights to intellectual property invented or created in accordance with ISUPP 7010 Intellectual Property.
5. **Favoritism and Relationships in the Workplace**

   The direct participation in a University decision which would or could appear to involve a direct benefit or detriment to a Family Member, including decisions regarding hiring, selection, promotion, wages, hours, or other conditions of employment.

6. **Outside Supervisory Interest**

   Financial, business, or employment arrangements with students or direct reports to the Employee in Consulting, Professional Service, or commercial activities outside the University.

E. **Examples of Conflicts of Commitment that Require Disclosure**

1. **Professional Service or Outside Commitments**

   Professional Service or outside commitments, whether paid or unpaid, that interfere or have the potential to interfere with the Employee’s University responsibilities.

   a. This disclosure requirement does not include membership in or service to professional associations; reasonable attendance at professional meetings, courses, and workshops; membership on professional review or advisory panels; the giving of occasional presentations or participation in conferences; reviewing or editing scholarly publications; service to accreditation bodies; and other activities reasonably related to an Employee’s University duties, even when compensated, as long as they do not conflict or interfere with the timely performance of primary University duties.

2. **Private Consulting and Outside Employment**

   a. **Outside Academic Appointments**

      Academic appointments, including visiting appointments during an approved leave of absence or brief transitional appointments. Employees may not have an academic appointment at another institution unless approved by the Vice President for Academic Affairs/Provost. Serving as an affiliate faculty at another institution to serve on a graduate or thesis committee doesn’t require disclosure under this policy so long as the time spent on such outside activities does not compromise time spent on University duties.

   b. **Foreign Government or Entity Affiliations**

      In many instances, federal law and guidance requires the University to report Gifts and other funds received from foreign (i.e., non-U.S.) sources. Various federal agencies and grant terms also require researchers and other University personnel to report all types of support received from, or professional relationships with, foreign
persons or entities. For these reasons, while these activities may be deemed allowable following disclosure, Employees must disclose foreign support and affiliations, including participation in a foreign government-sponsored talent program, receiving funding from any foreign government or entity, or receiving any courtesy or honorary appointments that are held at foreign institutions. Serving as an external evaluator for doctoral dissertations at foreign institutions is generally permitted under this policy so long as the time spent on such outside activities does not compromise time spent on University duties.

VI. DISCLOSURE REVIEW AND MANAGEMENT

A. Initial Review

1. Disclosures required under this policy must be made in writing to an Employee’s supervisor in a form prescribed by the Chief Compliance Officer. Supervisors must promptly review the disclosure to determine whether an actual, potential, or apparent conflict exists and whether interests conflicting with this policy must be eliminated or addressed through a management plan.

2. As part of their review, supervisors shall:
   a. review and document the disclosure for real, apparent, or potential conflicts;
   b. if necessary to evaluate the presence or absence of a conflict, request and document additional details;
   c. determine whether detailed information must be elevated for review by additional University officials, including Deans, Vice Presidents, or the Chief Compliance Officer;
   d. meet with the Employee to discuss how to resolve the identified conflict; and
   e. recommend and initiate action to resolve the actual, potential, or apparent conflict.

B. Conflict Management Plan

1. If a conflict exists and is deemed manageable, the supervisor will work with the Employee and other University officials to develop a written conflict management plan to manage, reduce, or eliminate the actual, potential, or apparent conflict. The purpose of the plan is to:
   a. accurately describe the actual or apparent conflict;
   b. create explicit agreements to protect against inappropriate influence or bias;
   c. facilitate appropriate oversight; and,
d. protect the Employee, students, third parties, and the University.

2. Conflict management plans must be approved by the Employee’s supervisor and applicable Vice President.

C. **Additional Disclosure or Management Requirements**

The process for disclosing and managing conflicts as described in this policy are the minimum steps that must be taken by an Employee. It is possible that a particular situation or activity may call for specific steps beyond those outlined here for proper disclosure and/or management of a conflict. Particular units and activities of ISU may also have specific conflict of interest policies or guidelines approved by the Chief Compliance Officer. Those specific policies may in certain cases be more restrictive than this University-wide policy. This policy provides a framework for those specific additional policies and guidelines.

**VII. APPEAL PROCEDURE**

If an Employee believes the conditions or restrictions in a conflict management plan are ineffective or unduly burdensome, the Employee may appeal the decision in writing to the President. The President’s decision on the appeal shall be the final decision of the University. If the President was involved in the original decision being appealed, then the President’s original decision is the final decision of the University.

**VIII. RECORD MAINTENANCE**

Supervisors shall maintain all ad hoc disclosures and conflict management plan records in accordance with procedures established by the Chief Compliance Officer. Records will be maintained in a manner to protect sensitive and confidential information.

**IX. NONCOMPLIANCE**

The University expects all Employees to comply fully and promptly with all requirements of this policy. Violations of this policy may include, but are not limited to:

A. intentionally filing an incomplete, erroneous, or misleading disclosure form;

B. failure to provide additional information as required;

C. failure to provide a disclosure as required by this policy; or
D. failure to follow a conflict management plan.

A violation of this policy may be the basis for discipline up to and including termination. Such discipline will be in accordance with the policies and procedures applicable to the particular Employee.
I. POLICY STATEMENT

Idaho State University (ISU or University) endorses and promotes internal interactions of its faculty, staff, and student employees, as well as external interactions with federal, state, and local governments, non-profit groups, and with business and industry as important parts of their administrative, research, teaching, and public service activities. However, upholding the public’s trust is essential to the University mission and its reputation. Therefore, University operations and administration, as well as teaching, research, public service, and other activities shall not be ethically compromised, or perceived as compromised, by financial, professional, or personal considerations. All University employees are expected to hold themselves to the highest ethical standards.

In addition to the requirements set forth below, all employees of ISU are also subject to the Conflict of Interest and Ethical Conduct Policy of the Idaho State Board of Education, section II. Q., and the Idaho ethics statutes found in the Idaho Ethics in Government Manual, published by the Idaho Attorney General and available at http://www2.state.id.us/ag/manuals/index.htm. ISU faculty is subject to the Faculty Ethics Policy. To the extent there is a conflict between this policy and the State Board of Education (Board) policy or the statutes, the statutes and the Board’s policy shall control, in order of authority. All persons involved in sponsored projects are also subject to the Conflict of Interest in Sponsored Projects policy, ISUPP No. 7070.
II. DEFINITIONS

A. **Apparent Conflict:** exists when an employee is involved in activities in which financial or other personal considerations creates a perceived conflict between the University’s mission or interests and the employee’s private interests, whether or not there is an actual Conflict of Commitment or Conflict of Interest. An Apparent Conflict exists when a reasonable person would conclude from the circumstances that the employee’s ability to act in the University’s best interests or perform contractual obligations is compromised by personal interests. For example, an employee may have an outside business interest that appears to influence his or her judgment in University decisions. There may not be an actual conflict, but if the generally-known facts of the situation may lead a reasonable person to conclude that the employee’s professional judgment is compromised by personal or financial interests, then an Apparent Conflict exists.

B. **Close Relative:** means a grandmother, grandfather, aunt, uncle, niece, nephew, brother-in-law, sister-in-law, first cousin, or grandchild.

C. **Committee of Ethical Guidance and Oversight:** is a committee that shall review conflicts that are brought forward by employees. It shall consist of a minimum of four (4) faculty members and two (2) staff members appointed by the President and Executive Vice President and Provost. Committee members shall serve a term of two (2) years, and may be appointed to consecutive terms.

D. **Conflict of Commitment:** exists when an employee’s efforts with respect to non-University activities interfere with or limit the efforts that should properly be devoted to his or her University appointment.

E. **Conflict of Interest:** exists when an employee is involved in activities in which financial or other personal considerations may directly and significantly affect his or her professional judgment in exercising any University duty or responsibility. Financial or other personal considerations are presumed to exist whenever an employee must, as part of his or her responsibilities, consider any transaction involving a member of his or her Immediate Family or a Close Relative. This includes (a) transactions with an external party in which the employee or an Immediate Family member holds a Significant Financial Interest; and (b) transactions purely internal to the University which would affect an employee’s Immediate Family member or Close Relative who is also an employee of the University.

F. **Immediate Family:** means a spouse or domestic partner, parent, step-parent, guardian, brother, sister, mother-in-law, father-in-law, child, or stepchild.

G. **Private Professional Consulting:** is any activity performed by any full-time professional employee or faculty member of the University which meets all of the following criteria:
1. The service performed is based on utilization of the same knowledge and skills for which the consultant serves as an employee or faculty member of the University.

2. The consultant receives compensation in addition to his or her regular salary.

3. The service is provided in addition to regular duties performed for the University during the contract obligation.

H. **Regular Outside Employment:** includes employment by the same employer for more than twenty (20) hours in any given calendar week two (2) or more times per month for three (3) or more consecutive months. In addition, professional and/or technical employees must disclose consulting for compensation in any amount.

I. **Significant Financial Interest:** in a business entity or organization is one in which the aggregate value of (1) all salary, wages, gifts, or other pecuniary benefits received from the entity, and (2) the value of any equity held in the entity, is equal to or greater than $5,000.00.

### III. AUTHORITY AND RESPONSIBILITIES

Various federal and state laws and regulations, along with Board and University policies address University employees' actions in the event of real or Apparent Conflicts of interest. It is the responsibility of the Office of General Counsel to interpret these laws and regulations, and ensure compliance. It is the responsibility of every employee to identify and disclose real and potential Conflicts of Commitment or Interest and Outside Employment or consulting, and abide by University policies to manage or mitigate such conflicts. Every employee with supervisory responsibilities must have subordinates complete forms for disclosure of Outside Employment and conflicts of interest as soon as the Outside Employment or conflict arises and each year during annual evaluations. When real or Apparent Conflicts are identified, the employee and his or her supervisor must prepare a plan to manage the conflict, which must be reviewed and approved by the employee’s unit head or dean, and the Committee of Ethical Guidance and Oversight as designated by the President and the Executive Vice President and Provost.

### IV. PROCEDURES TO IMPLEMENT

A. **Policy**

Each employee is expected to devote his or her primary professional time and energy to the University and to the mission of teaching, research, and public service.
1. Employees shall avoid situations that may result in a Conflict of Interest or Conflict of Commitment. Examples of presumptively prohibited conflicts are set out in section B.3. Situations that may be managed to avoid conflict are set out in section B.2; such situations may proceed if approved in writing by the Committee of Ethical Guidance and Oversight, and subject to an authorized management plan that prescribes the necessary steps and management to avoid the conflict.

2. University employees who have actual or Apparent Conflicts must disclose them in compliance with this policy. In all matters, employees must take appropriate steps, including consultation with his or her unit head or dean if issues are unclear, to avoid both Conflicts of Interest and Conflicts of Commitment and the appearance of such conflicts.

3. In furtherance of this policy, ISU requires that the Purchasing Department’s policies for competitive bidding be used in the procurement of materials, supplies, equipment, and contractual services of $10,000 and above in one time or cumulative value. This requirement includes printing, which has a different dollar amount. This provision may not apply when circumstances warrant sole source contracting as permitted by Purchasing Department rules. In addition to the certifications required by this policy, the Purchasing Department also requires specific Conflict of Interest certifications related to sole source procurement and to proposal evaluations.

B. Conflicts of Interest or Conflicts of Commitment Activities

Activities that may involve actual or Apparent Conflicts of Interest or Conflicts of Commitment fall into three (3) general categories that differentiate relationships according to potential for adverse impact. These include but are not limited to:

1. Activities that are routinely allowable and are not required to be disclosed pursuant to this policy, including the following:
   a. Membership in and service to professional associations and learned societies; membership on professional review or advisory panels, presentations, participation in conferences, reviewing or editing scholarly publications, and service to accreditation bodies as long as they do not conflict or interfere with the timely performance of primary University duties. These activities are permitted even if they are performed for nominal honoraria or reimbursement of expenses, provided that payment or reimbursement does not exceed $5,000.00 in any twelve (12) month period, and does not conflict with any other applicable University, state, or federal policy, law, rule or regulation.
   b. Receiving royalties for published scholarly works and other materials or for inventions pursuant to the University’s patent and copyright procedures.
2. Activities that may be allowable following disclosure and development of an authorized management plan include but are not limited to:

a. General Activities

   i. Possessing a Significant Financial Interest in a business that competes with the services provided by the University as part of its academic, research, or training mission.

   ii. Assuming an executive position or having a Significant Financial Interest in a for-profit business engaged in activities in an area related to the employee’s University responsibilities.

   iii. Possessing a Significant Financial Interest in a business that is in a field related to the employee’s University responsibilities.

   iv. Engaging in any other activity that has the potential for creating a Conflict of Interest or Conflict of Commitment.

   v. Ownership of or equity in a corporation used solely for the employee’s consulting activities.

   vi. Requiring or recommending the employee’s own textbook or other teaching aids, materials, software, equipment, or the like to be used in connection with University instructional programs from which the employee receives income, or that of an Immediate Family member or Close Relative.

   vii. Subject to the disclosure requirements set forth in this Policy, ISU employees may engage in Outside Employment of a professional or personal nature, directly related to the professional or other competencies of the employee. However, no employee may undertake Outside Employment that interferes with the employee’s assigned duties to the University. In all Outside Employment, the outside employer must be informed that the employee is acting in a private capacity, and that the University is in no way a party to the Outside Employment, and is not liable or responsible for the performance thereof.

   viii. Financial Conflicts of Interest between employees and students. Business relationships and investment endeavors presenting financial risk to students or which do not present a clear benefit to the educational opportunities of the student are strongly discouraged.

   ix. Private Consulting by members of the University’s professional staff and faculty is authorized subject to the following conditions:

      1. Academic
a. The proposed activity must be compatible with the employee’s profession.

b. The proposed activity will not interfere with the performance of the employee’s assigned duties.

c. Written approval must be granted by the employee’s supervisor.

2. Financial

a. The consulting service should not constitute unfair competition with a similar service already available. The employee should not make use of University-owned resources to undercut the prices charged by competitors. (In general, consulting fees should be commensurate with the professional standing of the employee, but should be established through negotiations between the employee and the client).

b. In all private consulting engagements, the client must be informed that the employee is acting as a private consultant, that the University is in no way party to the contract, nor liable, nor responsible for the performance thereof.

c. Professional consulting services which are performed as a part of the employee’s regularly assigned duties are not subject to special consulting charges by the employee consultant. Under special circumstances (each instance subject to the Committee on Ethical Guidance and Oversight’s approval) professional services for the University which are clearly beyond the duties assigned the employee by the University may be compensated.

d. No University resources, including but not limited to facilities, staff or office supplies, may be used in support of the consulting service.

3. Activities that are presumptively not allowable include but are not limited to:

a. General Activities
   
   i. Taking administrative action in the course and scope of University responsibilities that is beneficial to a business in which the employee or an Immediate Family member or Close Relative has a Significant Financial Interest.

   ii. Influencing the negotiation of contracts between the University and an outside organization with which the employee or an Immediate Family member or Close Relative has a Significant Financial Interest.
iii. Making referrals of University work to an external business or professional office in which such employee or Immediate Family member or Close Relative has a Significant Financial Interest.

iv. Associating the employee’s name or work with an external activity in such a way as to profit monetarily by trading on the reputation or good will of, or implying sponsorship or endorsement by, the University. Mere identification of the University as the employee’s employer and of the employee’s position at the University is permitted, provided that such identification is not used in a manner that implies sponsorship or endorsement by the University.

v. Accepting or soliciting any gift favor, or service that might influence or appear to influence the employee in the discharge of his or her official duties, or that the employee knows or has reasonable cause to believe is being offered with the intent to influence their conduct. Notwithstanding this prohibition, employees may accept trivial benefits that are not in excess of $50.00 provided that such benefit is incident to personal, professional or business contacts and involves no substantial risk of undermining their impartiality.

b. Public Disclosure Activities

i. Publishing or formally presenting results of research under University auspices, or providing expert commentary on a subject, without simultaneously disclosing any Significant Financial Interest relating to such results or such subject.

ii. Unauthorized use of privileged information acquired in connection with the employee’s University responsibilities. This is not intended to apply to standard publication activity.

C. Reporting and Approval

1. Disclosure of Potential Conflicts: All employees are required to complete and submit the Conflicts of Interest Form at the time the conflict or Outside Employment arises. The disclosure form shall be reviewed each year at the time of the employee’s performance evaluation.

   a. The supervisor or department head/chair or director must ensure that the employee is not involved in making decisions with respect to a transaction, whether internal or involving a third party, in which the employee has an actual or Apparent Conflict of Interest. If such decision making may occur, a management plan shall be developed.
The management plan shall include a general description of the activity; whether University resources will be used; how financial oversight will be implemented to ensure the employee does not have control of University finances as it relates to the conflict; the term of the management plan; and the review dates of the management plan.

b. All Conflicts of Interest forms and proposed management plans must be reviewed and approved by the supervisor and the dean or unit head, and submitted to the Committee on Ethical Guidance and Oversight. The committee shall review the proposed plan and make a recommendation to the President and the Executive Vice President and Provost as to whether to approve the proposed plan and allow the situation to proceed under the management plan or whether to amend the proposed plan as needed.
Conflict of Interest Form
TO BE COMPLETED WHEN YOU HAVE A CONFLICT TO DISCLOSE OR A CHANGE IN CONFLICT CIRCUMSTANCES

EMPLOYEE INFORMATION:
Name ___________________________ Bengal ID No. ___________________________
Campus Phone No. ___________________ Department __________________________
Position Title ___________________________ Email Address __________________________

_____ I have a new conflict to report.
_____ This report is made following a change of circumstances and replaces my prior report.

Employee Conflicts of Interest Disclosure

By signing here, you are certifying that the information that you provide in this form and in the management plan (if necessary) is accurate to the best of your knowledge as of the date of your signature, and you commit to providing an updated form to your supervisor if a material change occurs in the information you have provided. Please sign and date this form and submit it to your department head or chair supervisor/institute director along with separate pages describing the nature of the reported conflict.

Signed ___________________________ Date ___________________________

Supervisor Review
_____ I concur with the employee’s conflict(s) and the plan(s) to manage the conflict(s).
_____ I do not concur with the employee’s management of one or more conflicts. Attached are my reasons for not concurring.

__________________________________________ Date ___________________________
Department Head or Chair / Supervisor/ Director

Unit Administrator Review

_____ I concur with the supervisor’s review.
_____ I do not concur with the supervisor’s review. Attached are my reasons for not concurring.

__________________________________________ Date ___________________________
Dean/ Unit Administrator

Committee on Ethical Guidance and Oversight Action

_____ I concur with the above reviews and the proposed management plan.
_____ I do not concur with the above reviews and the proposed management plan. Attached are the required actions.

__________________________________________ Date ___________________________
Chair, Ethical Guidance and Oversight Committee

• Copy to employee, employee’s supervisor, and employee’s unit administrator
• Original document on file in the office of Human Resources
MANAGEMENT PLAN

Description of the activity: ________________________________________________________________

____________________________________________________________________________________

University resources being used: _________________________________________________________

____________________________________________________________________________________

Describe the financial oversight to ensure the employee doesn’t have control of University finances as they relate to the activity: _____________________________________________________________

____________________________________________________________________________________

____________________________________________________________________________________

Activity will take place from: _____________________________________________________________
through: _____________________________________________________________________________

Is this Regular Outside Employment? If yes, provide detail: __________________________________

____________________________________________________________________________________

____________________________________________________________________________________

If this involves an ownership interest in the outside entity, what type of ownership interest is it, what percentage interest is owned, and what is the value of the interest: _____________________________________________

____________________________________________________________________________________

____________________________________________________________________________________

Income from the outside activity: _________________________________________________________

____________________________________________________________________________________

Other circumstances to report, if any: _____________________________________________________

____________________________________________________________________________________

____________________________________________________________________________________

I agree not to participate in any negotiations concerning agreements between the University or any entity affiliated with the University and the outside entity. I shall not compete with the University, share confidential information of the University, or use ISU’s name or identifying insignia in connection with the activity.

Employee name: __________________________________ Date: ______________
Employee signature: _______________________________________________________________