



Conflict of Interest Policy and Requirements for Public Disclosure

POLICY: University employees shall faithfully discharge their duties and shall refrain from knowingly engaging in any outside matters of financial interest incompatible with the impartial, objective, and effective performance of their duties. They shall not realize personal gain in any form which would influence improperly the conduct of their University duties. They shall not knowingly use University property, funds, position, or power for personal or political gain. They shall inform their supervisors in writing of reasonably foreseen potential conflicts.

Conduct by an employee that violates the University's policies, regulations, or rules pertaining to conflict of interest shall constitute a breach of employment contract and may lead to disciplinary action.

SECTION 330.015 of the *Collected Rules and Regulations* of the University of Missouri requires that a University employee shall make a full disclosure in writing of her or his present or proposed outside financial interest to the appropriate University official for filing in a registry located for public scrutiny in the following circumstances:

- When a University employee engages in any outside matters of financial interest incompatible with the impartial, objective, and effective performance of their duties; such as, when it is proposed that the University enter into (a) contracts for the sale of goods or services, or (b) research contracts, or (c) other contracts, including those for technological transfer, with private firms or corporations in which a University employee knows he or she has a direct or indirect financial interest.
- When the financial interest of the University employee in the private firm or corporation is such that it could influence the decision-making process of the private firm or corporation and the employee could also influence the decision-making process of the University in entering into or performing the contract.
- Realize personal gain in any form which would influence improperly the conduct of their University duties.
- When there is a change in the University employee's financial interest during the course of such contracts.
- When an employee enters into a business activity which overlaps with the University's teaching, research, or service missions; such as, when an employee of the University teaches either credit or non-credit courses not connected with the University.
- When a business interest for which the employee consults and the entity conducts business with the University, is in competition with the University, or competes with the work of the University.

Employees who are required under this policy and these rules to submit a *Potential Conflict of Interest Disclosure Statement* should provide as much information as possible and secure all appropriate signatures or the form will be returned. Please send it to:

Missouri S&T COI Officer [TBD]
Address [TBD]

Potential Conflict of Interest Disclosure Statement

This form is for Missouri S&T employees to make a full disclosure of potential conflicts of interest resulting from direct or indirect outside business, financial, employment, or consulting interests which are related to their University employment. It is each employee's responsibility to provide this information to the appropriate University official for filing in a registry, if appropriate, located for public scrutiny in accordance with UM CRR 330.015.

Please complete the following questionnaire and return it to the Missouri S&T COI Officer. If you have any questions, please feel free to contact TBD, Missouri S&T Conflict of Interest Committee liaison, for assistance.

Name: _____ **Employee ID:** _____

Department/Division: _____

Campus Address: _____ **Campus phone:** _____

University title: _____ **Percent FTE:** _____

Business Name: _____

Do you have Research involved with any of the following:

Human Subjects: yes / no

Animals: yes / no

Please fully describe the business, financial interest, outside employment, or consulting activities that are raising a potential conflict of interest. Include names, addresses, nature of interest, your role at the University and how it relates to the outside interest, and any other relevant information. Feel free to use additional sheets if necessary or attach additional documentation.

Nature of your Interest

(check all that apply)

- Equity interest
- Consulting/Employment
- Director/Officer/Partner/Agent/Manager/Advisor/Board Member position
- Receipt of Loan/Gift
- Receipt of Honoraria
- Receipt of Royalty Revenue
- Research Support
- Patent Holder
- License Holder
- Other (describe in box below)

Relationships with Sponsors/Business Entities

Do you have financial interests in the outside entity/activity disclosed that supports any of your research or training activities in any way?

- YES NO

Do you conduct outside activities (employment, consulting, management and other contractual activities) with the outside entity/activity disclosed that supports any of your research or training activities in any way?

- YES NO

Please briefly describe the outside activity, estimate the hours per week to be spent and total number of weeks.

Do you receive compensation for teaching/speaking at educational programs sponsored by the outside entity/activity disclosed?

- YES NO

Do you receive travel and personal expense support for teaching/speaking at educational programs sponsored by the outside entity/activity disclosed?

- YES NO

Do you receive compensation for consultation services from the outside entity/activity disclosed?

- YES NO

Does the outside entity/activity disclosed hold a license agreement(s) with the University relating to an invention or software where you are an inventor or author?

- YES NO

If this disclosure is related to a new research project, will the outside entity/activity disclosed hold any rights to research and/or inventions for discoveries associated with this project?

- YES NO

Is the outside entity/activity disclosed imposing restrictions on the disseminations of research results?

- YES NO

If yes, please describe the restrictions.

Are you engaged in commercial activities with the outside entity/activity disclosed that are related to your University responsibilities (i.e. vendor selection, purchasing, sponsored projects, teaching, etc)?

- YES NO

Are you requesting or does your activity require or involve the use of a sole-source vendor agreement for the outside entity/activity disclosed?

YES NO

Do you supervise, select or evaluate services provided to the University by the outside entity/activity disclosed?

YES NO

Do you refer University business to the outside entity/activity disclosed?

YES NO

Do any of your University activities sponsored by the outside entity/activity disclosed involve technology developed at the University and which is now owned by or contractually obligated to the outside entity/activity disclosed?

YES NO

Do you agree to disclose your interest in the outside entity/activity disclosed in any publications, presentations and papers you submit regarding the research, and abide by all submission requirements from journals and organizations?

YES NO

Are/will any University employees and/or students who you directly or indirectly supervise be involved in any activity sponsored by the outside entity/activity disclosed?

YES NO

Please explain the use of University employees/students in activity.

When acting on behalf of the outside entity/activity disclosed, do you employ or supervise any students or University personnel?

YES NO

Is your relationship with the outside entity/activity disclosed the type of activity that could cause an independent observer to be concerned and/or call into question the integrity of you and/or the University?

YES NO

I attest to the accuracy of these answers and, should circumstances change in the future, I will contact the Missouri S&T Conflict of Interest Committee to appropriately update this disclosure statement.

Signature: _____

Date: _____

Employee

I approve this disclosure filing for submission to the Missouri S&T Conflict of Interest Committee.

Signature: _____

Date: _____

Department Chair/Director

Signature: _____

Date: _____

Vice Provost for Academic Affairs/Division Head