

CONFLICT OF INTEREST AND COMMITMENT (COIC) DEPARTMENT MANAGEMENT PLAN
Employee Rights and Responsibilities

1. Professional Activity Leave (Applicable to Consulting substantially related to university responsibilities only)

Employee must discuss and receive permission **in advance** from their department chair for plans to use regular University working hours to work for the Entity. The department chair may grant permission if they determine that:

- 1) the amount of University time used is consistent with University policy (up to nine days per term per the Professional Activity Leave policy)
- 2) the Employee will be able to meet all their University work commitments
- 3) the activity will advance the skills and abilities of the Employee, with resultant benefit to the department, college or university, and
- 4) the activity is not otherwise detrimental to the department, college or university

University holidays, vacations, nights and weekends (unless the latter are your normal working hours) may be used for Entity activities. B-base employees may use the summer for Entity activities if not on appointment at that time.

Employees supporting themselves on federal grants during the summer or other times are reminded that they may not use time paid for by a federal grant for activities other than those specified in the grant, this includes other research projects, teaching, administration, consulting, vacation, Entity activities, etc.

2. Intellectual Property

In accordance with Board of Regents and ISU policy, all intellectual property generated using university funds, including contracts, grants and gifts, belong to the University, except as specified otherwise in the terms and conditions of the funding agreement.

The Employee shall inform Iowa State University Research Foundation (ISURF) of intellectual property generated using any university funds or resources. ISURF will work with the Employee to determine whether an invention disclosure is required. Among other considerations (such as contract compliance) invention disclosures must be submitted in a timely manner to permit patent or other types of protection if such protection is deemed appropriate by ISURF.

The Employee will refrain from using their university research results in their Entity activities until there has been a review of any intellectual property resulting from the research by the ISU Office of Intellectual Property and Technology Transfer and a license or option obtained, or, if no intellectual property exists, then after the results have been disclosed publicly.

3. University Resources (Facilities, Services and Personnel)

The Entity shall not direct the use of university resources. Examples include: university-owned equipment in the Employee's laboratory and graduate students and other personnel paid on grants from the Entity to the University.

The Entity shall not use university addresses, email addresses, phones, web sites, stationary, trademarks, faxes or other university property or services on behalf of the Entity or in any way that would imply university endorsement of the Entity or its products or services.

The Employee shall take special care to not use university computers for Entity activities or to store Entity data on university computers or university data on Entity computers. The failure to keep Entity and university computer use separate can result in disputes over data ownership.

Use of university facilities or services by the Entity must be in compliance with all relevant university policies pertaining to use by external parties. Arrangements for use of university facilities or services must be made through the department chair and the Vice President for University Services and in most circumstances will require a written agreement. This includes use of computers, laboratory equipment and supplies that reside in the Employee's university laboratory. Employee should also establish a separate email address and phone number to use for Entity business. Incidental use of university phones and internet access is acceptable.

If the Entity wishes to sell products or services to any Iowa Regents institution, it must first apply for and obtain approval as a Conflict of Interest Vendor. Entities interested in obtaining Conflict of Interest Vendor status should contact the Director of Purchasing.

4. Procurement / Purchasing

Employee may not participate in the selection, award, or administration of a contract supported by a Federal award if he or she has a real or apparent conflict of interest. Such a conflict of interest would arise when the employee, officer, or agent, any member of his or her immediate family, his or her partner, or an organization which employs or is about to employ any of the parties indicated herein, has a financial or other interest in or a tangible personal benefit exceeding \$5,000 from a firm considered for a contract.

5. Publications and Presentations

Although publications may be briefly delayed (maximum of 120 days) for the purpose of pre-publication review and intellectual property protection, the relationship with the Entity may not restrict publications or presentations.

The Employee and researchers must disclose their relationship with the Entity in publications and presentations in their university role wherever the content of the publication or presentation could be perceived to benefit the Entity. This includes publications or presentations describing research, product comparisons, or recommendations relevant to the activities of the Entity or the Entity's competitors.

6. Changes in Status

The Employee will update their COIC disclosure in IRBManager of any and all changes in their relationship with the Entity.

7. Plan Review

Department Management Plans are initiated, completed, and stored in IRBManager and reviewed annually at Employee's evaluation.

***Special Note on Extension Appointments.** Because of the unique service oriented nature of University Extension, special policies apply to persons on an Extension appointment. In some cases (i.e., consulting within the state) Extension policy is more stringent than that of the general university, and the University Extension policy supersedes university policy.