

Cleveland State University Screening Form for Identifying Conflicts of Significant Financial Interests

Effective Date: October 15, 2003

This Screening Form is used to identify potential conflicts of significant financial interests for CSU-based projects. Regardless of your responses on this form, all CSU employees must also abide by the Ohio Ethics Law: <http://ethics.ohio.gov/OhioEthicsLaw.html>

Name: _____ Department/Unit: _____

University Title: _____ College: _____

Proposal Title: _____

Intended Funding Agency: _____

1. Do you or a *family member* have a consulting or other financial relationship with a non-governmental external sponsor/donor of your research?

Yes ☐ No ☐
2. Do you or a *family member* have a managerial role in or an opportunity for personal gain through a *significant financial interest* in a company in a field of your research, a company that does business with the University, or hold an interest in a firm, corporation, or other association (hereinafter "company") to which the Board has assigned, licensed, transferred, or sold the University's interests in discoveries or inventions partially or wholly made or created by you?

Yes ☐ No ☐
3. Do you have non-University professional or income-producing activities involving Cleveland State University students, professional staff, or facilities?

Yes ☐ No ☐
4. Do you or a *family member* have any other relationships, commitments, or activities that might, in your good faith judgment, present or appear to present a conflict of *significant financial interest* with your Cleveland State University research activities?

Yes ☐ No ☐
5. Do you currently have, or will this proposal lead to the award of, external funding for research in a subject area in which you also have a *significant financial interest* in an external activity such as a managerial or ownership role in a company or an opportunity to receive a significant financial interest?

Yes ☐ No ☐

N.B.: If you answer *yes* to any of the above five questions, you will receive a significant financial interest disclosure form requesting further information. Italicized phrases are defined in the Policy for Managing Conflicts of Interests at Cleveland State University.

Affirmation: *In submitting this form, I affirm that the above information is true and accurate and, further, that I accept responsibility for being familiar with the Policy on Conflicts of Interests at Cleveland State University. Furthermore, I attest that I will immediately report any Conflicts of Interest that may arise after the*

Return completed form to: University Office of Sponsored Programs and Research, Keith Building 1150

If you require assistance, please contact us at (216) 687-3630. (See below for definitions)

submission of this proposal up through and including the execution of the project should the proposal be funded, in accordance with CSU policies.

Signature: _____

Date: _____

Definitions

Conflict of Significant Financial Interest is considered to occur whenever a University faculty or staff member, or other University employee, or a family member of the University employee, has an existing or potential financial or other material interest that impairs, appears to impair, or has the potential to impair the University employee's independence and objectivity in the discharge of his/her responsibilities to and/or for the University. Alternatively, a conflict of significant financial interest is considered to occur whenever a University employee receives financial or other material benefit through inappropriate use of knowledge or information that is or should have been known to be confidential to the University.

University Employee is any individual employed on a full- or part-time basis at Cleveland State University who is receiving, or will receive, compensation for such employment. This includes faculty, staff, and students on hourly pay, assistantships or tuition grants.

Investigator is the principal investigator, co-principal investigators, or any other University employee responsible for the design, conduct, or reporting of externally funded educational, public service, or research activities.

Family Member includes the University employee's spouse or domestic partner and children or other adults who qualify as dependents under the Internal Revenue Code definitions, and the employee's parents if the parents provide significant financial support to the employee.

Project implies any externally funded activity such as basic, applied, or developmental research, instructional, curricular, or creative activities, student aid, career development, or other activity conducted by University faculty or staff members on behalf of the University.

Significant Financial Interest is any item of monetary value including, but not limited to: (a) salary or other payments for services rendered such as consulting fees or honoraria; (b) equity interests such as stocks, stock options, or other ownership interests; and (c) intellectual property rights such as patents, copyrights, and royalties from such intellectual property rights.

Significant Financial Interest does not include:

- ↪ Cleveland State University remuneration such as salary or royalties; consulting fees or honoraria from service on advisory committees or review panels for public or nonprofit entities; or
- ↪ financial interest in business enterprises or entities where the value of such interests would not be anticipated to exceed \$10,000 per annum or represent more than a five per cent (5%) ownership interest.

The value of such equity interests is to be determined on the basis of public prices or other reasonable measures of fair market value.

Negative Finding means a determination has been made that no conflict of significant financial interest exists.

Positive Finding means a determination has been made that a conflict of significant financial interest does exist and, therefore, appropriate administrative action will be required.