

CONFLICT OF INTEREST DISCLOSURE

The primary goal of an annual conflict of interest disclosure is to manage potential and actual conflicts of interest. When completing this form, if you are unsure whether or not to include information, please include it. The information provided is maintained in a confidential manner by Mines, subject to the procedures outlined in the Conflict of Interest Policy. Please return the completed form via email to: compliance@mines.edu

Complete all the information			
Name		Supervisor	
Position Title		Phone	
Department or Center (Primary)		Email	
College/Department		Reporting Period (Calendar Year)	
Check all categories applicable to this submission			
	Initial Reporting	Annual Reporting	Change, Addition, or Correction to Reporting
Check all categories that apply to you			
Full time	Academic Faculty	Post-Doc	External Investigator
Part time	Administrative Faculty	Visiting Scholar	Mines personnel responsible for Conduct, Design or Reporting on Research
Temporary	Research Faculty	Subcontractor	Athletics/Staff/Other

Definitions:

Conflict of Commitment means when an employee's external commitments or activities (such as professional consulting, other business interests, or personal pursuits) substantially interfere with, or impede, the employee's ability to satisfy Institutional Responsibilities and commitments to Mines.

Equity means an interest or stake in an entity including, but not limited to: stock, stock options, warrants, or any security representing ownership/stake in an entity.

External Employment and Services means employment or services undertaken by an employee for compensation from an individual or entity outside Mines including but not limited to arrangements whereby the employee provides goods or services to external businesses or individuals, paid board appointments, paid speaking engagements, etc.

Foreign Entity includes country, regional, or local level foreign governments, foreign corporations (private, public and non-profit), foreign universities and foreign research institutes/centers.

Name:

Immediate Family means spouse, domestic or civil union partner, dependents, or household members.

Institutional Responsibilities means professional responsibilities performed on behalf of Mines (e.g., research, scholarship, education, and service). Examples include, but are not limited to, activities such as research, research collaborations, other sponsored programs such as continuing education training, program development, etc., teaching, work on scholarly publications, responsibilities for financial and transactional activities, and service on institutional committees.

Non-Remunerative External Commitment means continual volunteer service, and external professional service or development activities such as participation in professional societies or organizations, participation in review boards or accreditation efforts for other institutions, etc. The term “continual” means more than sporadically.

Professional Consulting means the provision of professional advice or services to external constituents with or without remuneration.

DISCLOSURE QUESTIONNAIRE

When responding to questions please consider the previous twelve months and the next twelve months.

YES **Question #1 – Remuneration:**

NO I (and/or my Immediate Family) received or anticipate receiving, payments and/or any kind of receipt of value from organizations other than Colorado School of Mines (“Mines”) for services that relate to my Institutional Responsibilities, that when combined, exceed \$5,000 in value. Services include consulting fees, honoraria, payment for speaking, income from external business/employment and other similar payments.

When considering payments applicable to this section, please DO include payments from outside business, employment, and consulting arrangements related to your Institutional Responsibilities.

Please DO NOT include salary and compensation issued directly from Mines.

Common Disclosure Examples, by Topic, when performing services for an entity other than Mines:

Research & Development – Consulting, Advising, Private Seminars/Lectures.

Teaching/Education – Seminars, Lectures, Convention Speeches/Presentations, Continuing Education Lectures.

Employment – Contracting, Start-Up Ventures, Spouse/Partner Work.

Applicable Federal Regulations, including but not limited to: (2 CFR Part 200 Subpart B; NSF 22-1 Proposal & Award Policies & Procedures Guide (PAPPG); 42 CFR 50, Subpart F; C.R.S. § 24-18-101, et. seq., C.R.S. § 24-18-201, et. seq.)

YES **Question #2 – Equity Interests/Investments:**

NO I (and/or my Immediate Family) owned or anticipate owning stock, stock options, shares, or other types of equity interests/investments (domestic or foreign) that has/had a relationship to my Institutional Responsibilities. Disclosure should include equity interests/investments in either:

a) publicly traded corporations that when aggregated exceed either \$5,000 in value or 5% ownership of a single entity;

OR

b) a privately-held company where the equity interest or ownership is valued at any amount.

Please DO NOT include mutual/pooled investments that are managed by a third-party investment management firm and make the investment decisions on your behalf (e.g., 401k/403b, PERA and

	<p>Mutual Funds), or fund-structured investments with third-party investment managers.</p> <p>Common Disclosures Examples:</p> <ol style="list-style-type: none"> 1. Stocks held through broker-dealers and trading firms, such as Interactive Brokers, JP Morgan, eTrade, Robinhood Trading. 2. Stock options obtained and held through dealings outside of Mines. 3. Partial stakes/ownership of private or public companies. <p>Applicable Federal Regulations, including but not limited to: (2 CFR Part 200 Subpart B; NSF 22-1 PAPPG; 42 CFR 50, Subpart F)</p>
<p>YES</p> <p>NO</p>	<p>Question #3 – Intellectual Property:</p> <p>I (and/or my Immediate Family) am an inventor of intellectual property, outside of my Mines employment, that may be related to or intersect with my Institutional Responsibilities. The intellectual property has been or will be licensed by an external organization, and either of the following is true:</p> <ol style="list-style-type: none"> a) I received or will receive license fees, royalties, or other forms of financial consideration. <p>OR</p> <ol style="list-style-type: none"> b) I created, discovered, and/or reduced to practice an invention using Mines Resources for which the title has not been assigned to Mines. <p>When disclosing intellectual property, please DO NOT include Mines-owned intellectual property. Please include the patent number (if available), where appropriate, as well as the owner of the intellectual property.</p> <p>Common Disclosure Examples:</p> <ol style="list-style-type: none"> 1. Intellectual property of which you were an investigator at a different institute/university. 2. Book royalties. <p>Applicable Federal Regulations, including but not limited to: (2 CFR Part 200 Subpart B; NSF 22-1 PAPPG; 42 CFR 50, Subpart F)</p>
<p>YES</p> <p>NO</p>	<p>Question #4 – Sponsored/Reimbursed Travel:</p> <p>I was directly reimbursed or anticipate receiving a reimbursement for travel expenses or was provided travel benefits (i.e., travel activities were paid for on my behalf) by an external organization/party other than Mines and this travel was related to my Institutional Responsibilities. Travel expenses can include, but are not limited to, airline tickets, car rentals, hotel lodging, and similar.</p> <p>When disclosing reimbursed (or provided) travel expenses, please DO NOT include funds provided by the following external organizations:</p> <ol style="list-style-type: none"> 1. Federal, state, or local United States government agencies. 2. Public institutions of higher education. 3. Academic medical center (or teaching hospital). 4. Research institutes affiliated with institutions of higher education. <p>Common Disclosure Examples:</p> <ol style="list-style-type: none"> 1. Sponsored lectures/conventions 2. Board/officer-related travel <p>Applicable Federal Regulations, including but not limited to: (2 CFR Part 200 Subpart B; NSF 22-1 PAPPG; 42 CFR 50, Subpart F) Sponsored/Reimbursed Travel (2 CFR Part 200 Subpart B; 42 CFR 50, Subpart F)</p>

<p>YES</p> <p>NO</p>	<p>Question #5 – External Board Service:</p> <p>I (and/or my Immediate Family) served or anticipate serving on a board of directors, advisory board, and/or as an officer of an organization doing business with Mines.</p> <p>If you are unsure if the organization does business with Mines, please fully disclose the organization name and your role within the organization.</p> <p>Organizations that do business with Mines may include, but are not limited to, sponsored and non-sponsored research, selling/buying a product to or from Mines, and providing services to Mines.</p> <p>Applicable Federal Regulations, including but not limited to: (C.R.S. § 24-18-101, et. seq., C.R.S. § 24-18-201, et. seq.)</p>
<p>YES</p> <p>NO</p>	<p>Question #6 – Foreign Interests and Associations:</p> <p><i>[Given the nature of university research, most Mines research faculty are likely to have something to report in this question.]</i></p> <p>I was associated with or anticipate being associated with a Foreign Entity as it relates to my Institutional Responsibilities and the association was not managed through Mines.</p> <p>Examples may include one or more of the following:</p> <ol style="list-style-type: none"> 1. Services or other obligations (paid or unpaid, including promised future compensation or in-kind compensation), including but not limited to consulting, teaching, contract work, transferring intellectual property, participation in a foreign talent program and/or other activities. 2. Honorary titles, appointments, career advancement opportunities or benefits given in exchange for advice, consulting, teaching and/or other activities. 3. Research and/or collaborations outside of Mines funded directly or indirectly by a Foreign Entity. <p>DISCLAIMER/NOTE: Mines encourages international collaborations and recognizes the value of these activities to the individuals personally and the Mines community as a whole. The information provided under this question is being collected to promote transparency in this area as required by federal agencies and to enable the university to continue to support international collaborations.</p> <p>Applicable Federal Regulations, including but not limited to: (DOE O 486.1A; NSF 22-1 PAPP; DOD Memorandum “Actions for the Protection of Intellectual Property, Controlled Information, Key Personnel and Critical Technologies” (March 20, 2019); NASA – The Department of Defense and Full-Year Appropriation Act, Public Law 112-10, Section 1340(a); The Consolidated and Further Continuing Appropriation Act of 2012, Public Law 112-55, Section 539)</p>

Name:

YES NO	<p>Question #7 – Conflict of Commitment:</p> <p>I engaged in or I anticipate engaging in outside activities or employment that may create an actual or perceived conflict of commitment.</p> <p>The external commitment(s) may be:</p> <ul style="list-style-type: none">• related or unrelated to your Institutional Responsibilities• Professional Consulting or non-professional consulting• compensated or uncompensated <p>Requests to engage in external commitment must be approved in advance. (See Faculty Handbook, Section 6.4)</p> <p>Common Disclosure Examples:</p> <ol style="list-style-type: none">1. Board membership for a non-profit or for-profit company.2. Consulting.3. Employment arrangements with an external company.4. Start up company involvement (i.e., founder, officer, financial interest).5. Non-Remunerative External Commitment. <p>Please do not disclose one time or sporadic volunteer events.</p>
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If you answered YES to one or more of the above questions, you must provide additional information in the Disclosure Supplement.

By my signature below, I am acknowledging and agreeing to the following:

I have read and understand the Colorado School of Mines Faculty Handbook and Conflict of Interest Policy, located in the [Mines Policy Library](#) and I am completing and filing this form in accordance with Mines Policy;

I understand that I have a continuing obligation to update and revise my disclosure form no later than 30 calendar days after discovering or acquiring (e.g., through purchase, marriage, inheritance or otherwise) any change in my and/or my Immediate Family's outside activities or related financial interests during the course of the next reporting period; AND

I understand that annual conflict of interest disclosures are required as part of and a condition to my employment with the Colorado School of Mines.

By my signature below, I certify to the best of my knowledge that the information I have provided on this Conflict of Interest Disclosure and the Disclosure Supplement hereto is true and complete, and that I am in compliance with the Colorado School of Mines Conflict of Interest Policy.

Date:	Signature:
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CONFLICT OF INTEREST DISCLOSURE SUPPLEMENT

Name:

Date:

For any areas that you checked YES on the COI Disclosure, please provide additional information in the appropriate table.

Question #1- Remuneration

Receiver of Remuneration	Organization	Description of Services	Total \$ received in the last 12 months

Question #2 – Equity Interests/Investments:

Holder of Equity Interest	Type	If stock options, are they currently exercisable?	Name of Entity Stock/Options are Held in	Publicly Trade on a stock exchange?	Number of shares, options, warrants	Market Value of Shares (\$)	Percentage of Ownership

Question #3 – Intellectual Property:

Receiver of IP related remuneration	Type	Government ID number	Subject Matter of IP (describe)	Owned by (names)	Inventor(s) (names)	Total \$ received in the last 12 months

Question #4 – Sponsored/Reimbursed Travel:

Traveler	Dates of Travel	Sponsor/Organizer of Travel	Duration	Destination	Purpose

Question #5 – External Board Service:

Person providing service	Position	Organization	Duration of Position	Total \$ received in the last 12 months	Time commitment (total days in the last 12 months)

Question #6 – Foreign Interests and Associations:

Main Activity	Country	Type of Organization	Name of Organization	Total \$ received in the last 12 months	Time commitment (total days in the last 12 months)	Other Obligations

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Question #7– Conflict of Commitment:

Basic Information about the Commitment

Type of Commitment	Name of Organization	Describe the nature of the Commitment	Total \$ received in the last 12 months	Mines Facilities /Equipment used?

Time Involved

Projected dates of the Commitment	# of Days per calendar year	The Commitment will be performed:	How does your external commitment enhance or support your role as a Mines employee?

**If additional pages are necessary you may add them as needed.