



USASBE CONFLICTS OF INTEREST Guidance CHART

This chart summarizes potential conflict of interest situations that may arise for directors, officers, employees and other key persons as defined by the USASBE Conflict of Interest Policy (this group will be collectively referred to as USASBE Leaders for the purposes of this document). This document includes definitions of roles and terms and a brief description of potential contracts. It is to be used as a tool by USASBE Leaders and the USASBE Ethics Commission (UEC) to begin discussions on potential conflict/duality of interest situations.

A Conflict/Duality of Interest is defined as a situation in which a USASBE Leader has any impediment to being impartial and loyal to USASBE. This includes financial, personal, familial, and professional relationships that could actually – or reasonably appear to – affect the allegiance of the USASBE Leader to the Association and its mission.

The intent of the detailed articulation below is to encourage a culture of candor with regards to Conflict/Duality of Interest. All USASBE Leaders will have access to this document and are encouraged to discuss concerns openly with the UEC.

The chart below should be used as a guide to help a USASBE member determine if a potential conflict situation exists. Please note that the chart is not an exclusive list. It highlights some, but not all, conflict situations that may arise. When in doubt about a potential conflict, contact the Ethics Commission Ombudsperson.

Some conflict situations pose a conflict that may be resolved only by prohibiting the Leader from engaging in that particular activity or situation. Other conflict situations can be resolved by the Leader declaring the conflict and recusing themselves from the balance of the discussion and from voting on or deciding the matter. **The chart is intended to be used as a starting point to assist leaders in identifying if a potential conflict may exist and is not intended to represent final adjudication on an issue.**

In every instance in which USASBE Leaders may have a potential conflict or duality of interest, regardless whether the situation is marked “Yes” or “No” below, the USASBE Leader is required to disclose the conflict to the UEC in accordance with the process outlined in Ethics Commission Flow Chart. Likewise, a member who identifies a potential conflict of interest may contact the UEC as outlined in the Ethics Commission Flow Chart. The final determination of the existence and handling of a potential conflict will be determined on a case-by-case basis in consultation with the UEC.

As indicated by the entries in the chart, as a USASBE leader takes on a more prominent role in crafting positions that relate to influence and entrepreneurial ventures within USASBE’s mission, the potential conflicts and duality of interests will be evaluated more strictly.

Definitions:

SIG: Social Interest Group

UEC: USASBE Ethics Commission

EE&P: Entrepreneurship Education & Pedagogy

Member: Current member of USASBE

CEO/President: The USASBE Chief Executive Officer and senior most employee.

Chair: The leader of the Board of Directors. Elected by the members as a Board member, then elected by the Board as the chair.

Directors: Elected members of the USASBE Board

Appointed Positions: Members who are not elected, but who are advising or involved with specific operational functions such as: being on a task force, advisory board, or serve on a committee or commission. There may also be a need to appoint a person into what is normally an elected position. In this situation, the person would be considered to be in an elected position even if the manner in which they came into the position was an appointment.

Advising Director or Advisors: Individuals selected by the CEO and Board Chair to assist the CEO in operationalizing the board vision. These individuals may or many not be USASBE members and will not normally be involved in board meetings and do not have the ability to vote.

Organizational Liaison: Individuals who are members of organizations with an MOU that outlines a Liaison position. Examples may include CCSBE, ICSB, ECSB, etc.

Editors: Entrepreneurship Education & Pedagogy editors.

Paid Staff: Employees, subcontractors and consultants paid by USASBE.

Am I <u>REQUIRED</u> as a USASBE Leader?								
<i>Leadership Position</i>	CEO/President	Directors	Appointed Positions	Advisors	Organizational Liaison	SIG Chair	Editors	Paid Staff
A. Conflict Situations To disclose to the group(s) with which I am working (e.g., Board, Committees, etc.) every instance in which I have a conflict or duality and, as determined by the group, to recuse myself from the activity, discussion, and/or decision?	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes

A. Potential Conflict of Interest Activities with For-Profit Entities								
Is a discussion with the UEC necessary?								
Leadership Position	CEO/President	Directors	Appointed Positions	Advisors	Organizational Liaison	SIG Chair	Editors	Paid Staff
1. To be paid as an owner of (including having an equity stake) or contracted by a for-profit organization that serves entrepreneurs or educators through products, services, project work, books services, software or other related capacities.	Yes	Yes	Yes	No	No	No	Yes	Yes
2. To serve as an owner or have an equity stake in a for-profit organization that serves any other market.	No	No	No	No	No	No	No	No
3. To serve on corporate advisory boards	No	No	No	No	No	No	No	No
4. To use my USASBE status to promote corporate entities	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
5. To take USASBE-related actions that affect the value of a corporate entity in which I have a financial, consulting, employment or advisory interest.	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
6. To use, or allow others to use, my name along with USASBE status, to endorse or support corporate interests.	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
7. To identify my USASBE position <u>when primarily representing my university, company, other affiliation, or self</u> to the media, press, US or other legislative body, or funding agencies. If your USASBE Leadership position is identified in this type of setting, you are expected to make it clear that you are not representing the views, or speaking on behalf, of USASBE.	N/A	Yes	Yes	Yes	Yes	Yes	Yes	Yes
8. To submit presentations to on behalf of USASBE to national or international agencies and organizations on behalf of USASBE.	No	Yes	Yes	Yes	Yes	Yes	No	No

B. Potential Conflicts with Non-profit Organizations								
Is a discussion with the UEC necessary?								
Leadership Position	CEO/President	Directors	Appointed Positions	Advisors	Organizational Liaison	SIG Chair	Editors	Paid Staff
9. To have a conflicting duty to another organization and not resolve it.	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
10. To be an officer or director in another organization that: (a) has a mission that overlaps with USASBE; and (b) may be in competition with USASBE for financial resources.	Yes	Yes	Yes	No	No	No	Yes	Yes
11. To be an Editor-in-Chief for another Entrepreneurship or Educational-related journal whose mission overlaps with the USASBE's mission. (While other editorial positions should be disclosed, this guidance only applies to those holding Editor – Chief positions)	Yes	Yes	Yes	Yes	No	Yes	Yes	Yes
12. To commit USASBE human, financial, time, or operational resources to support any external organization to which a USASBE Leader serves or belongs in a leadership capacity.	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
13. To host or speak at events sponsored by Corporate Entities (publishers, software firms, entrepreneurship services firms) at USASBE conferences and events. Even if permitted, the Leader's position with USASBE is not to be identified.	Yes	Yes	Yes	No	No	No	Yes	No

C. Potential Conflicts with Other Business and Institutional Reputational Interests								
Is a conversation with the UEC necessary ?								
Leadership Position	CEO/President	Directors	Appointed Positions	Advisors	Organizational Liaison	SIG Chair	Editors	Paid Staff
14. To own, or for my <i>immediate family</i> (spouse and dependent children) to own, any amount of a corporate entity providing direct service (e.g., consulting, IT) to USASBE.	Yes	Yes	Yes	No	No	No	No	Yes
15. To compete for USASBE Program Awards or awards held in collaboration with USASBE conference or programs. TBD by UEC in consultation with the Awards Committee. The determinations on this issue represent the rules current rules existing for the 2020 board. The Task force recommends that the UEC work with the Awards committee to develop an appropriate policy	Yes	Yes	No	No	No	No	No	Yes

NOTES, GUIDANCE, AND POLICY RATIONALE:

CONFLICT #7: IDENTIFYING MY USASBE POSITION:

USASBE Leaders are not permitted to identify their USASBE leadership status as part of their email signature footers or in their regular communications, such as on letterhead, except in instances when Leaders are specifically authorized to and are in fact sending particular communications in their leadership capacity and on behalf of USASBE. The concern is that allowing the use of the USASBE name in ongoing communications links USASBE to the messages within, even if unintended and if the message is in conflict with an actual position of USASBE or concerning a matter that USASBE had not taken a position on.

CONFLICT #10: OFFICER FOR ANOTHER ENTITY:

The concern here is that the Leaders who attend Board of Directors (including Officers and elected Directors, Editors of EE&P) are privy to, and participate in, USASBE strategic planning. It is therefore an unresolvable conflict for USASBE Officers, Directors, and Editors-in-Chief to serve as officers or directors in organizations that pursue missions that overlap with, and that compete for resources against, USASBE. The concern here, and the application of this restriction is not with regard to small regional/local organizations or small focused meetings but to larger national or international organizations.

CONFLICT #11: EDITOR FOR ANOTHER JOURNAL

The Journal is a valuable, strategic, and revenue-producing resource of USASBE. USASBE Leaders such as the Officers, Directors and EE&P Editors-in-Chief attend Board meetings and are therefore privy to USASBE strategic planning, confidential information, and competitive discussions. Deputy and Associate Editors are also privy to USASBE strategic planning for publications. It is an unresolvable conflict for individuals holding any of these positions to be Editors-in-Chief of a journal for another organization whose mission overlaps with USASBE.

CONFLICT #13: CORPORATE-SPONSORED SPEAKING ENGAGEMENTS AT THE ANNUAL CONFERENCE:

The concern here is when an event is hosted or speakers are selected by the Corporate Entity, that portrays the speaker as aligned with the Corporate Entity and implicitly by the nature of the elected position held by certain members that USASBE is aligned with or favors the Corporate Entity, whether actually or just apparently.