

Guidance on Consulting and Other External Engagements

Chapman University supports the efforts of its faculty to foster productive relationships with the world outside of Chapman, including acting as consultants and in other external engagements, where faculty offer subject matter expertise in exchange for a fee, collectively known as “external engagements.” Faculty should be attentive to and avoid situations where third parties wish to pay a fee to garner favor with the individual or with Chapman.

In undertaking external engagements, faculty must be attentive to their obligations to Chapman and take appropriate steps to ensure that such activities are separate and distinct from their Chapman activities, do not take precedence over their primary commitment to the University, and are of sufficient quality to be worthy of Chapman faculty. Several examples of how to keep external engagement separate and distinct are provided below to help ensure compliance with Chapman’s policies.

Since no guidance can address every instance of external engagements, it is the faculty’s obligation to engage in only those outside professional activities that promote and support Chapman’s commitment to pedagogy, research, and service. Faculty are urged to obtain guidance and prior consent from their Dean before entering into the consulting arrangement with a third party.

- As noted in the Faculty Manual, “Outside employment, consulting activities, or business interests that may interfere with the faculty member's obligations to the University must be reported to the Dean.”
- Employees named as “Investigators” on sponsored awards and Directors of research institutes and centers must disclose any new outside activity within 30 days of engaging in the activity or acquiring a new financial interest. See the [Sponsored Activity Financial Disclosure Policy](#) for more information.
- Faculty are expected to spend no more than one day per workweek on consulting during the period for which they are paid for service. This time allowance may be averaged over a semester but does not accumulate from semester to semester.
- Consulting time limits do not apply during periods where faculty are not paid from Chapman funding sources, including internal funds or sponsored funds (e.g., over the summer or while on unpaid leave). However, disclosure of outside activities applies to all full-time faculty members.

Disclosure, Research Integrity and Academic Freedom

- Faculty should clarify that opinions they express in work prepared in the course of any consulting or other external engagements are their own and are not official positions of the University. Whenever a faculty member is listed as an author on a publication resulting from external engagements or engages in speaking activities related to consulting or other external engagements, this or a similar disclosure is recommended:

“Dr./Professor [NAME]’s contribution to this publication/speaking event was as a paid consultant/ representative of an external entity and is not related to his/her Chapman University duties or responsibilities.”

- Transparency is particularly needed when a faculty member’s University research supports or could reasonably be concluded by a neutral observer to support a position or agenda beneficial to or favored by an entity with which that faculty member consults or has another external engagement. Publications and presentations reporting such research should always disclose the arrangement using this or a similar disclosure:

“Dr./Professor NAME is a paid consultant/representative of ENTITY, which has activities or has interests to which this research is directly related or might be reasonably inferred as directly related.”

Contractual Agreements

- Individual faculty members are responsible for reviewing the business terms associated with their external engagements.
- If faculty intend to use information - including data, material, or other forms of intellectual property - gathered in the course of external engagements for Chapman research or other creative works, the Chapman Office of Industry Alliances and Commercialization must review the terms or conditions for accepting such information for use in Chapman research or other creative works, even if the data are provided free of charge. The terms of any such agreement must not be in conflict with Chapman University policy.

Intellectual property concerns

- Intellectual property developed while at Chapman using University or sponsored funds is owned by Chapman. Contact Chapman’s Office of Industry Alliances and Commercialization to arrange for any third party to license patented or copyrighted materials from Chapman if such materials are needed as part of a consultancy.
- Faculty must not sign consulting, employment, facility access, non-disclosure, or confidentiality agreements containing terms that conflict with the faculty’s obligation to confer rights to Chapman for certain inventions, specifically all those that result from activity conducted in the course of an appointment with the University and all those produced using University resources. Similarly, intellectual property related to your Chapman work may not be promised to outside entities as part of an external engagement.

Separation of external engagements and Chapman activities

- Faculty may not enter into any external agreements imposing obligations or liability upon Chapman.
- In any external engagement, faculty may not involve those Chapman staff or students for whom they have direct supervisory or academic responsibilities, as it may create a

conflict of interest between the faculty member's academic or supervisory responsibilities towards their student or staff and their personal interest.

- Chapman letterhead, name, or other identification must not be used to imply University support for a personal viewpoint or external engagement.
- Faculty may not use University resources to conduct or support their external engagements, with the only exceptions being the use of Chapman facilities and services that are openly available to outside commercial entities; or the use of an assigned office, office computer, or software routinely provided to all faculty.
- Faculty may not seek to provide access to University resources to individuals from entities with which they have an external engagement by sponsoring visiting or affiliate appointments unless it supports Chapman's mission as an academic research institution.

Posted on the Chapman FCOI page – April 2022 -

<https://www.chapman.edu/research/integrity/financial-conflict-interest/index.aspx>