

Navigating Conflict of Interest and Conflict of Commitment at UO

UO has a strong record of faculty and employee startup company creation. IPS helps UO staff and faculty navigate a number of federal, state, and UO policies that apply to startup activity at UO. We put together the questions below to help you evaluate the approval processes you will need to go through before launching a startup or engaging with a for-profit company.

1. Will you receive compensation or *equity* from an enterprise that carries out activities *closely related* to your UO activities?
 - a. Will the value of the compensation or equity exceed \$5000 over a 12 month period?
 - b. Will you receive equity in a non-publicly traded entity?
2. Will you serve in a *line management position* at a commercial enterprise?
3. Will you participate in the *day to day operations* of a commercial enterprise?
4. Will you serve in a *key role* in an entity besides UO?
5. Will you receive reimbursed or sponsored travel from an entity that exceeds a value of \$5000, in aggregate, over 12 months? (This does NOT include travel sponsored by federal, state, or local government agencies and institutions of higher education.)

If you answered “Yes” or “Maybe” to any of the questions above, you will need to receive approval for your outside activities whether as part of your proposed startup or as part of your outside consulting activities.

If you answered “Yes” to questions 1a, 1b, or 5 your proposed activity would constitute a Significant Financial Interest (or Conflict of Interest in Research) that requires a Management Plan created by UO that details the prospective plan for Significant Financial Interest mitigation.

Approval process for outside activity:

1. Summarize your proposed activity, including
 - a. Type of work or consulting to be provided;
 - b. Nature of the relationship;
 - c. Potential conflicts of interest;
 - d. Short- or long-term commitment of time and effort including the amount of time, if any, in excess of the one-day-in-seven standard;
 - e. Expected benefits to the outside entity, University employee, and University;
 - f. Use of University facilities and support personnel, if any, and the method of reimbursing the University for both direct and indirect costs, if the University approves such use;
 - g. Nature of any financial arrangements pertaining to compensation, including equity ownership and other forms of economic value provided to the University employee or any immediate member of the University employee's family; and
 - h. Measures proposed to manage potential conflicts and reduce their risk to the research, sponsor and University.
2. Submit this summary to your department head (or for staff to your immediate supervisor) and request that he or she make a recommendation that the proposed outside activity be approved.
3. The department head will make a recommendation to the applicable Vice President/Vice Provost for approval or disapproval of your proposed activity within 10 days of your complete submission of the request, or request additional information from you if your request is incomplete.
4. The department head will forward their recommendation regarding your proposed activities to your Dean or Unit Director, the Vice President for Research and the Vice Provost for Academic Affairs.
5. For faculty, the Vice Provost for Academic Affairs will review the submitted material and provide a final decision regarding the approval or disapproval of your proposed outside activities.

Management Plan process:

Management Plans for Significant Financial Interest for faculty conducting sponsored research at UO are handled by Research Compliance Services. You can learn more about the process at:

http://ocr.uoregon.edu/index.cfm?action=fcoi&sub=fcoi_development