

Conflict of Commitment and Outside Activities of Faculty Members (APM 025)

Requests to Engage in Category I Activities

Types of Category I activities:

- A. Assuming an executive or managerial position in a for-profit or not-for-profit business. This does not include consulting for or serving on the board of directors of an outside entity.
- B. Administering a grant outside the University that would ordinarily be administered under the auspices of the University.
- C. Serving as a salaried employee outside the University, including compensated teaching or research at another institution while employed as a full-time UC faculty member.
- D. Engaging in other compensated outside professional activities which common sense and good judgment would indicate are likely to raise issues of conflict of commitment.

Possible criteria for reviewing requests to engage in Category I activities:

- 1. Amount of time the activity would require. For types A and C above, the requesting faculty member would need to disclose all other compensated outside professional activities and demonstrate how all compensated outside professional activities would be accommodated within the 39-day limit for academic-year appointees (48 days for fiscal-year appointees).
- 2. Size of the company (including annual expenditures, numbers of staff, and range of products/services/activities) for type A activities.
- 3. Ability of the faculty member to separate his or her company work from his or her University work.
- 4. Ability of the faculty member to fully meet his or her University obligations of teaching, research, and public service.
- 5. Value to UCSD, including enrichment of the faculty member's teaching and research at UCSD.
- 6. Uniqueness of the contribution the faculty member may make to the outside professional activity.
- 7. Benefit to society.
- 8. Ability of the campus to manage any associated conflicts of interest.

Type B activities, which rarely are permitted, require the approval of the Director of the Office of Contract and Grant Administration and the Vice Chancellor for Research.

Possible conditions for approval of Category I activities:

- 1. The faculty member's outside professional activities would be monitored by a faculty panel.
- 2. The faculty member would make periodic reports to his or her Department Chair and Dean.
- 3. Approval could be withdrawn at any time if the faculty member is not fully meeting his or her obligations to the University.
- 4. The faculty member could not serve as the dissertation or thesis adviser of any graduate student who is carrying out educational or research activities at the company or is an employee of the company.
- 5. The faculty member could not serve as the principal supervisor of any postdoctoral scholar who is carrying out educational or research activities at the company or is an employee of the company.

6. The faculty member's association with the company would be included on all scholarly publications.
7. The approval would be withdrawn if the company's activities increase beyond specified levels.
8. Any inventions involving one or more UC employees would be disclosed to the University.
9. A third party, under confidentiality, would review the company's entire intellectual property on an annual basis to determine intellectual property ownership by standards set forth in UC policies, with all costs borne by the company.
10. Approval could be given for a limited period of time to allow the company to find another non-UC employee to serve in the managerial or executive position.
11. Approval could be given with the condition that the faculty member's appointment percentage be reduced or that the faculty member take a leave for a limited period of time.

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**PRIOR APPROVAL
FOR COMPENSATED OUTSIDE PROFESSIONAL ACTIVITIES (CATEGORY I)**

Name _____
Last First M.I. Position _____
Academic- or Fiscal-Year Appt _____

Department _____ Division/School _____

For each Category I compensated outside professional activity in which you wish to engage and/or in which you have a financial interest, answer the following questions. You may attach separate sheets, if necessary.

1. Name and describe of the business/agency/organization/group/individual:

2. Activities/products/services of entity described in 1 above: _____

3. Type of Category I activity in which you will be involved:

- _____ Executive/managerial role
- _____ Outside teaching or research activity
- _____ Salaried employee
- _____ Other potential conflict of commitment

4. Nature of your current relationship to entity named in 1 above (check all that apply):

- _____ Owner
- _____ Board member
- _____ Other, please explain: _____
- _____ Consultant
- _____ Equity/royalty interest
- _____ Stockholder/partnership interest
- _____ Salaried employee

5. Description of the nature of your participation in this activity, including, if you wish, possible beneficial outcomes to areas of research, industry, and public service (attach additional pages as needed):

6. Beginning/ending month/year you could be involved in this activity: _____

7. Fiscal year(s) for which seeking approval:* _____

* Note: Approvals are ordinarily for one fiscal year, but may be granted for a longer term, not to exceed five years.

8. Estimated number of days' involvement during academic or fiscal-year appointment _____

9. Do you wish to take a full- or part-time leave while engaged in this activity? _____

Faculty Member Date

Department Chair Recommendation:

- _____ Approve
- _____ Disapprove

Dean's Recommendation:

- _____ Approval granted through fiscal year ending June 30, _____
- _____ Request Denied

Department Chair Date

Dean Date