

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 Approval could be withdrawn at any time if the faculty member is not fully meeting his or her obligations to the University.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.

GENERAL UNIVERSITY POLICY REGARDING ACADEMIC APPOINTEES
Conflict of Commitment and Outside Activities of Faculty Members

**PRIOR APPROVAL FORM
FOR OUTSIDE ACTIVITIES (CATEGORY I)**

Name: _____ Faculty Title: _____
Last First M.I. Academic- or Fiscal-Year Appointment: _____

Department: _____ College/School: _____

For each Category I outside professional activity in which you wish to engage in outside professional activities, answer the following questions. Attach separate sheets, if necessary.

Type of activity in which you will be involved:

Category I Activities

Executive/managerial role: _____

Salaried employee: _____

Outside teaching or research activity: _____

Other potential conflict of commitment: _____

General description of the business/agency/organization/group/individual: _____

Activities/products/services of entity described above: _____

Nature of your relationship to entity named above (check all that apply):

Founder/co-founder: _____

Owner: _____

Consultant: _____

Board member: _____

Salaried employee: _____

Stockholder/partnership interest: _____

Equity/royalty interest: _____

Other, please explain: _____

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:

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

Fiscal year(s) for which seeking approval: _____ (Approvals are generally for one fiscal year but may be granted for a longer term not to exceed five years. Compliance reports must be submitted annually.)

Estimated number of days= involvement during academic- or fiscal-year appointment: _____

Will you be requesting a full- or part-time leave without pay while engaged in this activity? _____

Approval granted through fiscal year
ending June 30, _____

Request denied: _____

Department Chair Date

Dean Date

Faculty Member Signature Date

Chancellor or Chancellor's Designee Date