

Pacific University
Annual Conflict of Interest Disclosure Form*

Employee Name _____

Research Role

1. Do you anticipate seeking external research funding during the next twelve months?
Yes No If Yes, please explain

2. Do you currently serve as principal investigator for a funded research project?
Yes No If Yes, please explain

3. Do you have a role in the design, conduct or reporting of funded research?
Yes No If Yes, please explain

Financial Disclosure

4. Will you receive or anticipate receiving within the next twelve months personal income from a company or organization whose activities could possibly relate in any way to your teaching or research? Personal income includes: consulting; speaking or other fees; honoraria; gifts; licensing revenues (royalty income); equity interests (including stocks, stock options, warrants, partnership and other equitable ownership interests).
Yes No If Yes, please explain

5. Do you, your spouse, your domestic partner, or your dependents have any type of financial ownership interests (including stocks or other equity interest) or receive remuneration or compensation in any entity related to your teaching or to a current or proposed research project or that does business with Pacific University? An entity related to teaching or to a current or proposed research project means any:
 - A. supplier of equipment, materials, or services
 - B. business commercializing a product within your teaching area or that your research is intended to evaluate or further develop
 - C. party whose financial interests would seem to be directly and significantly affected by your teaching or research
 - D. sponsor of your researchYes No If Yes, please explain

Intellectual Property

6. Are you the inventor, co-inventor, or creator of intellectual property that has been licensed through Pacific University?

Yes No If Yes, please explain

7. Is this intellectual property the subject matter of or related to any sponsored research project with which you are involved?

Yes No If Yes, please explain

8. Do you receive royalties from the sponsor of any of your research projects?

Yes No If Yes, please explain

Management Planning

9. Do you have an agreed upon or proposed plan for management or elimination of potential conflict of interest? If so, please attach a copy of the relevant documents.

Yes No If Yes, please explain

Affirmation

In submitting this form, I affirm that the above information is true and complete to the best of my knowledge; I accept responsibility for complying with university policies on conflict of interest and paid external consulting; and I assume responsibility for updating this disclosure as necessary.

Employee _____ Date: _____

Potential conflicts of interest have been properly managed.

___ Yes

___ No

Department Chair/Director _____ Date: _____

Dean/Provost _____ Date: _____

* This form was modified from a form used by the Ohio State University

**Pacific University
External Consulting Disclosure Form***

Professional Activities Requiring Disclosure On This Form

- All compensated external consulting arrangements related to professional expertise, including those undertaken during those periods when the faculty member is not on contract with the University.

Professional Activities *Not* Requiring Disclosure On This Form

- Providing services explicitly authorized by approved university practice plans.
- External professional activities reflecting normal and expected public and professional service by faculty members.

Name _____ **Department** _____

College _____ **Campus** _____

Person, firm or agency receiving services _____

Describe services to be provided:

Date(s) on which service will be provided _____
(do not cross fiscal years)

Hours to be spent: Weekly _____ **Annual total** _____

Professional effort devoted to consulting and to normal university responsibilities, added together, should not exceed 120% of a full-time load. Consulting during off-contract periods is not subject to time limitations. Employees should avoid any conflict, or appearance of conflict, between such activities and university responsibilities.

Intellectual Property. Consulting agreements sometimes require assigning intellectual property rights to the firm receiving consulting services. These provisions should be narrowly drawn to apply only to the specific question, issue, or problem that is the subject of the consulting agreement.

The university Intellectual Property Policy requires employees to report inventions or discoveries made in the course of their university employment to the University. This policy applies to all research conducted by employees in their areas of expertise, including research performed during non-contract time.

Does your consulting agreement require you to assign intellectual property to the entity for which you are providing services? Yes No

If yes, please attach a copy of the intellectual property provision in the agreement.

Use of University Facilities

Will university facilities (beyond university provided computer) be used in connection with consulting services? Yes No

If yes, describe required space, services, equipment and supplies

Fees to be paid to the University for the use of:

Space \$ _____ Equipment \$ _____ Services \$ _____
Supplies \$ _____

CONFLICTS OF INTEREST

The university Conflict of Interest Policy (University Handbook, section 4.10) applies to all outside professional arrangements, including those performed during non-contract time.

A conflict of interest exists if financial interests or other opportunities for personal benefit can reasonably be perceived to exert a substantial or improper influence on a faculty member's professional judgment in exercising any university duty or responsibility, including teaching or designing, conducting, or reporting research. The existence of a perceived conflict of interest does not imply that a faculty member's judgment has been compromised. Conflicts of interest must have an agreed-upon management plan, or the source of the conflict must be removed.

Is there a potential conflict of interest in this consulting relationship?

Yes
 No

If there is a potential conflict, then a Conflict of Interest Disclosure Form must be attached to this form, unless one has already been filed within this fiscal year that covers this proposed activity.

A Conflict of Interest Disclosure Form is attached: Yes No

I understand that, while providing authorized external consulting services, I remain responsible for the performance of all of my assigned duties and responsibilities within the University. In submitting this form, I affirm that the above information is true and complete to the best of my knowledge; I accept responsibility for complying with university policies on conflict of interest and paid external consulting

Signature _____ **Date** _____

The department chair/director and college dean/Provost must be notified before employees undertake outside consulting activity related to their area of professional expertise. Their signature indicates whether further consideration of potential conflict of interest is required.

Further consideration required?

Yes

No

Department Chair/Director _____ Date _____

Further consideration required?

Yes

No

College Dean/Provost _____ Date _____

College Dean/Provost action, if any:

College Dean/Provost _____ Date _____

It is the responsibility of the College Dean or Provost to:

- notify the employee in writing if further consideration of conflict of interest is required.
- place the original in the employee's open personnel file

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