

COI-C Disclosure Review Guidelines

The purpose of these guidelines is to inform University of Oregon (UO) faculty and other employees about the UO Conflict of Interest-Commitment (COI-C) disclosure review process. While the disclosure is submitted to the Office for Responsible Conduct of Research, the review process, and if needed, development of a management plan, involves all levels of administration and may include review by the Conflict of Interest and Commitment Committee. This guidance document is not a substitute for reading and understanding the UO Personnel Policy 3.095 on conflicts of interest and commitment. Although the guidance provided in this document may be generally true for many COI-C situations, there will also be situations which will require more extensive review, reduction or elimination of potential conflicting elements.

Review Levels

In general, there are five “typical” reviews that are generated from completed COI-C Disclosure Forms:

1) Level 1 Review

- a. Disclosures with no overload, outside activities or externally derived income, which therefore do not indicate any actual or potential conflicts of interest or commitment receive a Level 1 Review.
- b. Review and approval of these disclosures is completed by the Office for Responsible Conduct of Research (ORCR) on behalf of departments, schools, colleges and University administration. Notification of review and approval of these annual disclosures are sent to the relevant Supervisor, Department Chair, Director, and/or Dean and to the Vice President for Research and the Senior Vice Provost for Academic Affairs in an aggregated list and to faculty member or other employee in writing.
- c. The disclosure/review is relevant for a one year period. The disclosure and review serves as formal “prior approval” to continue current activity patterns. However, should the information disclosed materially or substantively change during the year, an updated disclosure must be filed when those changes occur.

2) Level 2 Review

- a. Disclosures with overload, outside activities, or externally derived income but where the actual or potential conflicts are of such minimal nature that they are sufficiently managed through the disclosure process itself, receive a Level 2 Review. Examples of this include but are not limited to, textbook royalties received from published materials whose creation utilized no more than nominal UO resources; total income from overload or outside activities that does not exceed \$10,000; and total equity from relationships with external entities that does not exceed 5%.
- b. Review and approval of these disclosures is completed by the Office for Responsible Conduct of Research (ORCR) on behalf of departments, schools, colleges and University administration. Clarification of the disclosed information

may be requested from the individual by ORCR. Notification of review and approval of these annual disclosures are sent to the relevant Supervisor, Department Chair, Director, and/or Dean and to the Vice President for Research and the Senior Vice Provost for Academic Affairs in an aggregated list and to faculty member or other employee in writing.

- c. The disclosure/review is relevant for a one year period. The disclosure and review serves as formal “prior approval” to continue current activity patterns. However, should the information disclosed materially or substantively change during the year, an updated disclosure must be filed when those changes occur.

3) Level 3 Review

- a. Disclosures that indicate overload, outside activities, or externally derived income that present actual or potential conflicts, or other pecuniary benefit (such as an excess of \$10,000 income; receipt of total equity from external entit(ies) that exceed 5%; etc.) and disclosures that the ORCR deems a written management plan is necessary receive a Level 3 Review.
- b. These disclosures are forwarded back to the individual as well as to the relevant Supervisor, for development of a written management plan. The Level 3 Review indicates information disclosed may require written management, reduction, or elimination of the conflicts of interest or commitment. As appropriate, the ORCR may assist in identifying specific areas that need to be addressed in a management plan.
- c. Once the management plan is reviewed by the immediate Supervisor, it is sent to ORCR for review, and is then forwarded to the appropriate Dean for their review and approval. (Management plans for Deans are returned to ORCR for their review and will be considered approved by relevant VP or SVP.) The management plans require the approval of the relevant Supervisor, Department Chair, Director and/or Dean and additionally the appropriate Vice President and/or Senior Vice Provost (SVP).
- d. Once the all the necessary approvals have been obtained, ORCR will send written notice of approval to the faculty member or other employee, cc'd to their Supervisor, Department Chair, Director and/or Dean as appropriate. ORCR will also provide notification of satisfactory management plans to the appropriate Vice Presidents and/or Senior Vice Provost.
- e. The approved disclosure/management plan serves as formal “prior approval” for current activities for the next year. However, should the information disclosed materially or substantively change during the year, an updated disclosure must be filed when those changes occur.
- f. Monitoring of management plans may take place throughout the year both by the faculty member's or other employee's immediate supervisor and/or by the ORCR.

4) Level 4 Review

- a. Disclosures that indicate *highly complex* overload, outside activities, or externally derived income that present actual or potential conflicts, or other pecuniary benefit (such as an excess of \$10,000 income; receipt of total equity from external entit(ies) that exceed 5%; etc.) will be submitted to the UO Conflict of Interest and Commitment Committee (COICC) by ORCR for Level 4 Review. Deans, Vice Presidents and Senior Vice Provost may also request a

review by the COICC. The COICC is comprised of Officer of Instruction, Research and Administration representation, makes management recommendations to Deans, Vice Presidents and Senior Vice Provost, and is staffed by non-voting ORCR personnel. The details of the function and structure of the COICC may be found in the COICC Charter.

- b. The COICC typically will review a management plan that requires extensive management, reduction or elimination of the identified conflict(s). The COICC will advise, consult with, and make management plan recommendations to the University administration leadership whose UO employee is involved in the disclosure/management situation. Approvals of these disclosures/management plans will follow Level 3 Review (c) and (d) processes, once recommendations by the COICC have been made.
- c. For permissible activities, the approved disclosure/management plan serves as formal "prior approval" for the next year. However, should the information disclosed materially or substantively change during the year, an updated disclosure must be filed when those changes occur.
- d. Monitoring of management plans will take place throughout the year both by the faculty member's or other employee's immediate supervisor and/or by the ORCR.

5) Purchasing and Contracting COI-C Review

- a. Disclosures from individuals authorized to engage in contracting or purchasing on behalf of the UO will be forwarded by ORCR to the Business Affairs Office for review, management, and approval.

Estimated Timeline for Disclosure Form Submission and Review

1. COI-C Disclosure forms will generally indicate activity between January 1st and December 31st of each previous calendar year.
2. Disclosure forms will be submitted to ORCR by February 1st of each year.
3. ORCR review and notification will occur by April 1st of each year
4. Management plans will be completed and filed by June 1st of each calendar year.

Disclosure Variables

It is understood that a range of additional variables, and different combinations of variables, may affect decisions about the level and type of review required. It is expected, however, the following guidelines will help establish predictability, transparency, and consistency in policy application.

The following tables are organized by the five major review variables:

- 1) Revenue Generation by Non-UO Activity
- 2) Use of One-day-in-seven Time
- 3) Equity in Business Entity
- 4) Student Employed in External Entity
- 5) Faculty/Staff Employed in External Entity

NOTE: The limits of the guidelines are pro-rated, where appropriate, for 9 month and 12 month appointments. Employees with other levels and degree of commitment will be expected to meet interpolated standards.

1. Revenue Generation by Non-UO Activity			
Level of Review	9 month appointment	12 month appointment	Process
Level 1	\$0.00	\$0.00	Delegated approval by ORCR
Level 2	Less than \$10,000	Less than \$10,000	Delegated review and approval by ORCR
Level 3	More than \$10,000	More than \$10,000	Management Plan based on review & approval by Supervisor, Department Chair, Director, Dean, VP & SVP
Level 4	Complex Disclosure	Complex Disclosure	Management Plan based on review & approval by Supervisor, Department Chair, Director, Dean, VP & SVP and the COI-C Committee
Purchasing and Contracting	Authorized to purchase or contract on behalf of the UO	Authorized to purchase or contract on behalf of the UO	Disclosure is forwarded to Business Affairs for review, management, and approval.
2. Use of One-day-in-seven Time			
Level of Review	9 month appointment	12 month appointment	Process
Levels 1 & 2	Less than 30 days	Less than 40 days	Delegated approval by ORCR
Level 3	30-39 days	40-52 days	Management Plan based on review & approval by Supervisor, Department Chair, Director, Dean, VP & SVP
Level 4	More than 39 days	More than 52 days	Management Plan based on review & approval by Supervisor, Department Chair, Director, Dean, VP & SVP and the COI-C Committee
Purchasing and Contracting	Authorized to purchase or contract on behalf of the UO	Authorized to purchase or contract on behalf of the UO	Disclosure is forwarded to Business Affairs for review, management, and approval.
3. Equity in Business Entity			
Level of Review	9 month appointment	12 month appointment	Process
Level 1	Zero equity	Zero equity	Delegated approval by ORCR
Level 2	Less than 5% equity	Less than 5% equity	Delegated approval by ORCR
Level 3	5% or greater equity plus research role; but no human subjects involvement	5% or greater equity plus research role; but no human subjects involvement	Management Plan based on review & approval by Supervisor, Department Chair, Director, Dean, VP & SVP
Level 4	5% or greater equity plus human subjects involvement	5% or greater equity plus human subjects involvement	Management Plan based on review & approval by Supervisor, Department Chair, Director, Dean, VP & SVP and the COI-C Committee
Purchasing and Contracting	Authorized to purchase or contract on behalf of the UO	Authorized to purchase or contract on behalf of the UO	Disclosure is forwarded to Business Affairs for review, management, and approval.

4. Employment of UO Student in External Entity with which UO Faculty also has a Relationship.			
Level of Review	9 month appointment	12 month appointment	Process
Level 1	No Student Employees	No Student Employees	Delegated approval by ORCR
Level 2	Student is part of a course taught by the UO employee and is employed by an entity with which the UO employee has a relationship.	Student is part of a course taught by the UO employee and is employed by an entity with which the UO employee has a relationship.	Delegated approval by ORCR
Level 3	UO employee is a member of student's program or thesis/dissertation committee and the student is employed by the entity with which the UO employee has a relationship.	UO employee is a member of student's program or thesis/dissertation committee and the student is employed by the entity with which the UO employee has a relationship.	Management Plan based on review & approval by Supervisor, Department Chair, Director, Dean, VP & SVP
Level 4	UO employee is advisor (higher potential for COI-C) to student and the student is employed by the entity with which the UO employee has a relationship.	UO employee is advisor (higher potential for COI-C) to student and the student is employed by the entity with which the UO employee has a relationship.	Management Plan based on review & approval by Supervisor, Department Chair, Director, Dean, VP & SVP and the COI-C Committee
Purchasing and Contracting	Authorized to purchase or contract on behalf of the UO	Authorized to purchase or contract on behalf of the UO	Disclosure is forwarded to Business Affairs for review, management, and approval.
5. Employment of UO Faculty/Staff in External Entity with which UO Faculty also has a Relationship.			
Level of Review	9 month appointment	12 month appointment	Process
Level 1	UO employee (who is submitting the disclosure) has no UO supervision duties	UO employee (who is submitting the disclosure) has no UO supervision duties	Delegated approval by ORCR
Level 2	UO employee (who is submitting the disclosure) has supervision duties at the UO and at the external entity	UO employee (who is submitting the disclosure) has supervision duties at the UO and at the external entity	Delegated approval by ORCR
Level 3	UO classified staff member, who also work for the external entity, is supervised by the same UO employee at UO and at external entity.	UO classified staff member, who also work for the external entity, is supervised by the same UO employee at UO and at external entity.	Management Plan based on review & approval by Supervisor, Department Chair, Director, Dean, VP & SVP
Level 4	Officer of Instruction, Research, or Administration is supervised by the same UO employee at UO and at external entity.	Officer of Instruction, Research, or Administration is supervised by the same UO employee at UO and at external entity.	Management Plan based on review & approval by Supervisor, Department Chair, Director, Dean, VP & SVP and the COI-C Committee
Purchasing and Contracting	Authorized to purchase or contract on behalf of the UO	Authorized to purchase or contract on behalf of the UO	Disclosure is forwarded to Business Affairs for review, management, and approval.