

## PERSONNEL SERVICES

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Director of Human Resources

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To: heads of departments and institutions, faculty board chairs, and departmental administrators

Ref. EMS/14

cc. heads of division, divisional secretaries, Director of Conference of Colleges Secretariat, Head of Consulting Services, Oxford University Innovation Ltd., Secretary to the Conflict of Interest Committee, Dr Richard Liwicki, Ms Ruth Kinahan

06 April 2018

### Outside appointments – revised OA1 form

*The University has revised the OA1 form, for the approval of outside appointments under [Council Regulation 5 of 2004](#), and has widened the scope of the form in relation to potential conflicts of interest. The revised form is available, with immediate effect, on the [Personnel Services website](#).*

#### 1. Background

Some University staff are setting up their own companies or investing in unlisted companies relating to their area(s) of research expertise that raise potential conflicts of interest and issues with respect to the University's intellectual property (IP) rights, supervision of their research students, use of University facilities, etc.

The revised [University Policy on Conflict of Interest](#), approved by Council in July 2017, advises that all staff, students and others working in the University are required to recognise and disclose activities that might give rise to actual or perceived conflicts of interest.

Staff or students may have a financial interest or other personal interest in a spinout, start-up or other organisation with a connection to their academic environment or work, or in an organisation to which the University has licensed or is seeking to licence University IP.

Staff may have personal IP or expertise with which they are intending to create a start-up company with a connection to their academic environment and work.

In such cases, prior permission from the Head of Department or Faculty Board Chair is required if they wish to undertake a consultancy or other appointment for that company.

The Personnel Committee agreed that the revised OA1 form will continue to gather the information necessary for the approval of outside appointments made under the '30-day rule'; it will also now capture the declaration of any potential income-earning or financial interest which may have a conflict of interest with an individual's University role.

Academic and academic-related staff and emeriti who are actively engaged in research, or who hold University appointments (and Visitors who have signed a Visitor's Agreement and who are expected to be visiting the University for more than three months) must complete a separate OA1 form each time they wish to gain approval for an outside appointment or make an investment which may give rise to a conflict of interest. In addition, a [conflict of interest management plan](#) may have to be agreed with the Head of Department or Faculty Board Chair.



They must seek prior approval from their Head of Department or Faculty Board Chair to:

- (a) hold an outside appointment at times when they would be expected to be working for the University;
- (b) hold an underlying appointment with a previous employer;
- (c) set up or take a financial interest in any business or other external entity not publically listed on a stock exchange and which could be conceived as creating a conflict of interest;
- (d) undertake consulting;
- (e) become a director of an external entity; or
- (f) hold a stake in any external entity which could give rise to a perceived or actual conflict of interest with their University role.

Guidance on the [Personnel Services website](#) clarifies the new reporting arrangements.

A revised QRG (IP5 – Capturing Outside Appointments) together with a revised UDF on CoreHR is expected to be available by the beginning of the new academic year in October 2018. Meanwhile, completed paper copies of the OA1 form should be retained for reference.

## **2. Action required of departments**

Departments and faculties are asked to:

- make all relevant staff aware of the revised [OA1 form](#), which will be effective immediately;
- ensure that the Head of Department has the opportunity to raise any concerns s/he has about outside appointments and the conflict of interest management plan with representatives of the Conflict of Interest Committee, before approval;
- circulate a link to the revised [OA1 form](#) to academic and academic-related staff, log outside appointments in CoreHR on an ongoing basis and retain the completed forms in the department's or the division's records.

## **3. Further information**

If you have a query about this new policy, please contact an appropriate HR Business Partner.

MR J DUXFIELD

Director of Human Resources.