

Conflict of Commitment Form Instructions for Online Submission

These are the instructions for submitting an electronic “Request for Approval of External Professional Commitment or Outside Employment Form,” more commonly referred to as the Conflict of Commitment form (COC Form). You may also submit a paper version (available through the COI Program), but this is discouraged because it adds burden to the review process and does not contain enhancements provided in the online environment.

Step 1:

- Begin by navigating to the Conflict of Commitment Form Submission System at: <https://uavpr.arizona.edu/COC>
- Log in with your net ID and password.



THE UNIVERSITY OF ARIZONA

Change your NetID password!
New password required for **Office 365** and the new **faculty/staff email**. More information
If you haven't changed your password since **March 6, 2017**, go to netid.arizona.edu and change

UA NetID WebAuth

Enter your NetID and Password

NetID: [NETID]

Password: [REDACTED]

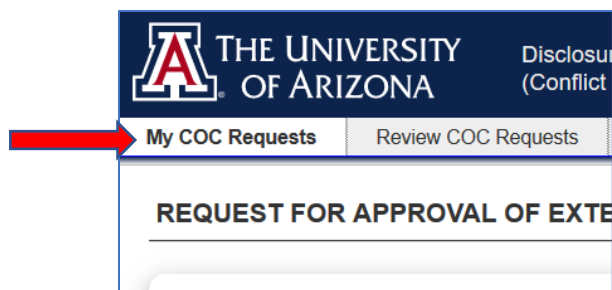
LOGIN clear

You have requested access to the following site:
Disclosure of Outside Activities
This site requires UA NetID authentication.

[Sign up for NetID+ for a second layer of security!](#)

- You will now be taken to the landing page for the COC form.

Note: if you have been listed as a reviewer or approver on someone else's COC form, **your landing page may be different**. To submit your own form, you will need to navigate to the “My COC Requests” Tab.



THE UNIVERSITY OF ARIZONA

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My COC Requests Review COC Requests

REQUEST FOR APPROVAL OF EXTE

Step 2:

- To start a new request, click the blue text indicated by the **red arrow** below, which reads: “Click here to report a company, non-profit, or other entity to which you are committing your time”.
- To revise or continue an existing, unsubmitted request, find the “Unsubmitted Approval Requests” section and the “edit” box (small blue box with the pencil), as indicated by the **blue arrow** below.
- To delete a unsubmitted request, click the red trash can icon next to the relevant request.

THE UNIVERSITY OF ARIZONA Disclosure of Outside Activities (Conflict of Commitment Form)

My COC Requests | COI Disclosure

REQUEST FOR APPROVAL OF EXTERNAL PROFESSIONAL COMMITMENT OR OUTSIDE EMPLOYMENT

Stefan, Matthew Joshua	EMPLID: 23293278
Student Group B	Affiliation: Student
Research Admin Services	Status: A ABOR: STU
matthewstefan@email.arizona.edu	Phone: (520) 621-3511

Welcome to the new electronic version of the University's Conflict of Commitment Form (also known as the "Request for Approval of External Professional Commitment or Outside Employment").

Your Department Head, Dean and/or Supervisor is responsible for approving your request and will be notified to do so once you submit your form. If you have any questions on the form itself or on the Conflict of Commitment Policy, please email the Conflict of Interest Program at COI@email.arizona.edu.

Please click below to initiate a new request for approval or to continue an existing request.

(If you require any assistance with completing this form, please reach out to the COI Program at COI@email.arizona.edu or by phone at (520)626-7879 for assistance.)

Start a New Request:

[Click here to report a company, non-profit, or other entity to which you are committing your time](#)

Unsubmitted Approval Requests: (1)

TEST:

Status: Unsubmitted / Working [matthewstefan 04/12/2017 4:50 pm] Last Modified:04/20/2017 4:50 pm

Primary Approver: Owen P Lefkon lefkon@email.arizona.edu [Submission Pending]

- To view a previously submitted request, click the gray “document” icon to the left of the Disclosure.
- To edit or renew a previously submitted form, click the blue “edit” icon to the left of the Disclosure.

Test LLC:

Status: Primary Approval Complete, Secondary Approval Pending [REDACTED] 03/30/2017 10:36 am] Last Modified:03/27/2017 1:45 pm

Primary Approver: [REDACTED]@email.arizona.edu [Approved]

Secondary Approver: [REDACTED]@email.arizona.edu [Approval Pending]

[View Comments \[2\]](#)

- Reviewers and approvers have the ability to leave you comments. This may occur in the event your submission was rejected with a request to resubmit an amended version. **You can view any comments** by clicking on the “view comments” function.

Step 3 – Instructions:

- Read all the instructions on this next page.

Instructions:

This form is to be used by all "Full-time" University of Arizona ([UA](#)) appointed personnel to obtain approval prior to entering into any external professional commitments or outside employment ([Outside Activity](#)) as required in the University's [Conflict of Commitment Policy](#). "Full Time" generally means 50% or greater FTE. Please check with your business office if you are unsure whether you have Full Time status.



Timing: This form should be submitted for approval **at least four (4) weeks prior** to making the commitment.
(If you missed this deadline, you can still complete this form.)

Financial Disclosure: This form is for approval of your **time commitment** to non-UA activities. If you will receive any compensation or have any financial stake in the outcome of those non-UA activities, **you may also need to update your financial disclosure** through the Conflict of Interest Program's online system at [this link](#).

NOTE: Absent instruction to the contrary, **approval is generally NOT REQUIRED to participate in professional commitments that:**

1. are required as a condition of your employment or tenure eligibility,
2. are a part of your duties on behalf of the University, or
3. are encouraged by the University as part of your academic or professional development (such as professional societies, committee memberships, journal editorships, service to the discipline, service to the University, routine scholarly collaboration, etc.).

However, in such circumstances, you may still submit this form if requested by your supervisor or to otherwise satisfy compliance requirements.

 [Landing](#) [Outside Entity](#) 

- When finished, click the blue arrow on the bottom right ("Outside Entity") to proceed.

Step 4 - General:

- For each subsequent page of the form:
 - fill out all the required boxes with the necessary information
 - some questions may prompt additional questions based on your response
 - if prompted review a policy summary, read the policy language and check the box below to certify that you have read and agree to the relevant policy
- When finished, click the blue arrow on the bottom right of the page to proceed to the next step.

Step 4.1 –Outside Entity:

- Complete the empty boxes with **details about the entity** for which you will be performing the Outside Activity.
- If the Entity is a **startup company** that has or will license intellectual property from UA, please check the relevant box. (This will provide Tech Launch Arizona with access to your completed form.)

Outside Entity (i.e. the company, non-profit, or other entity to which you are committing your time) Step 1 of 12

Entity Name:

Address:

Website:

Primary Contact at Outside Entity:

Phone number and/or e-mail address of primary contact:

This entity is a startup company that has licensed or will license technology from the University/ABOR. (By checking this box, a copy of this form will be made available to Tech Launch Arizona.)

[← Instructions](#) Activity [→](#)

Step 4.2 – Proposed Outside Activity:

- Fill in the **Title and Role** in the above blue box.
- For the list of **Activity Types**, check each that applies and review any additional questions or policy summaries that are displayed.
- For **Location**, check all that apply. If you will perform the activity on campus, you must provide an exact location.
- For **Purpose**, briefly describe the purpose and scope of the Outside Activity. If you have a consulting agreement or other document that contains a “scope of work,” you may either copy and paste it into the box, or upload the document (see the **red arrow**, below).

Proposed Outside Activity Step 2 of 12

Title and Role:

Activity Type

Please check all that apply:

- consulting
- managerial, board member, or other fiduciary role
- panel member
- speakers' bureau
- scientific advisor/scientific advisory board member (whether or not paid)
- other



Location

Where will these activities be performed? (*check all that apply*)

- on campus
- at my home
- on site at Outside Entity
- other

Purpose

Please describe the purpose and scope of your Outside Activity. (Include the scope of work from any employment or consulting terms, where relevant. You may copy and paste into this field if necessary.)

 You may also click or drag files here to upload scope of work documentation. 

← Outside Entity Schedule →

Step 4.3 – Schedule:

- Fill in a **Start Date** and, if known, and **End Date**. *Regardless of the End Date, you are responsible for seeking renewal within a year of approval for ongoing activities, as described in the form.*
- List the number of hours per week you plan to spend on the Activity.
- Check at least one option under the **Work Schedule** options for when you plan to perform the Activity.

Step 3 of 12

Schedule

Please list the dates between which the Outside Activity will be performed.

NOTE: Approval expires after one year. If you indicate "ongoing" below, or an end date that is more than one year from today, you will need to resubmit this form for approval on an annual basis. Resubmission is your responsibility and should take place before the current approval term expires.

Start Date: End Date: *(leave end date empty if unknown/ongoing)*

Amount of Time (hours/week):

Work Schedule

When will you perform the activity? *(check all that apply)*

During UA Worktime

If you will perform this activity during work hours, your Outside Activity must be part of your institutional responsibilities at the UA.

Vacation time

Nights & Weekends

Sabbatical

Other

[Activity](#)[Income](#)

Step 4.4.a – Financial Interests:

- This section identifies whether you also will need to complete a Financial COI Disclosure.
- **Read the 3 questions. If you answer yes, you will be told the additional conditions that would result in you needing to complete a financial disclosure. If you need to do so, the financial disclosure system is available at: <http://rgw.arizona.edu/compliance/conflict-interest-program/individual-conflict-interest-research/instructions-completing-your-financial-disclosure>**

Step 4 of 12

Financial Interests; University Interactions

If the answer to **ANY** of the following four questions is yes, please mark the "Yes" answer below:

- Do/will you (or your relative) receive income or other compensation over \$5000 from the Outside Entity?
- Do/will you (or your relative) own/receive any equity in the Outside Entity (i.e., stocks, warrants, etc)?
- Do/will you (or your relative) have any financial stake in the outcome of the Outside Activity?
- Do/will you (or your relative) have any board membership, managerial, or fiduciary role at the Outside Entity?

No Yes

If you either are

1. involved in research at UA; or
2. hold a position of administrative leadership at UA,

then you will also need to **update your financial disclosure** through the Conflict of Interest Program's online system at <http://rgw.arizona.edu/compliance/conflict-interest-program/individual-conflict-interest-research/instructions-completing-your-financial-disclosure>

Step 4.4.b – University Interaction:

- Check each item that is or may be true about the **relationship between your Outside Activity** (or the Outside Entity) **and the University of Arizona**.
- Certain responses will prompt you to certify that you have read and agree to the University’s Conflict of Interest in Procurement Policy.

What is the relationship between the Outside Activity/Entity and your UA Institutional Responsibilities, if any? (check all that apply, to the best of your knowledge)

- The entity or activity is or may be in my field of research
- The entity is or may be a licensee of UA intellectual property
- The entity is or may be a donor to UA or the UA Foundation
- The entity is or may be a sponsor or subrecipient of research at UA
- The entity otherwise contracts with or enters into business dealings with the UA
- Other
- None

Arizona law requires that University employees with a substantial interest in an Outside Entity refrain from participating on behalf of the University in any contract, sale, purchase, service to, or decision of the University with respect to that Outside Entity. For more information, please see the [Procurement and Contracting Services Conflict of Interest webpage](#), and the relevant policy, available there.

*By submitting this form for approval, I agree to abide by these policies.

[← Schedule](#) [UA Resources →](#)

Step 4.5 – UA Resources:


- **Note:** approval of your COC form does not constitute approval for the use of any resources listed in this screen. Separate approval is required.
- Check each box that applies.

Step 5 of 12

UA Resources

What UA facilities or resources will be used for your outside activity? (Check all that apply)

- UA Buildings or space
- UA Employees
- UA Equipment
- Other
- None

 [Income](#)[Students / Trainees](#) 

- For each positive response, you will be
 - asked to **provide a description** of the relevant resource; and
 - prompted with a description of the University's requirements for seeking approval of the use of such resources.

Other

Please describe what other UA resources you will use below:

enter a description of other UA resource use

None


Please note that the significant use of University resources requires (1) approval by all unit heads with authority over the resources and by the Dean and the relevant Vice President and (2) a Facilities Use Agreement or other written signed agreement authorizing the use.

The Facilities Use Agreement Form is available here: www.pdc.arizona.edu/file/fua_standard_form_2013.pdf.

"**Significant Use of University Resources**" is defined in the [ABOR IP Policy](#) and includes (among other things) use of University facilities, personnel time, central computing resources, telecom services (beyond ordinary telephone services), research equipment, or production facilities. It does NOT include use of office space, library resources, personal workstations, or personal computers.

PLEASE NOTE: Separate University approval for the significant use of UA resources is required; the approval of this form by your supervisor does not constitute such approval.

Where relevant, please email a copy of the signed facilities use agreement or other agreement to COI@email.arizona.edu or upload a copy below.

 You can click or drag agreement files here to upload

- You should **upload any existing facilities use agreement or other similar agreement** at the bottom of this screen. If such an agreement has not yet been signed, it should be sent to coi@email.arizona.edu once complete.

Step 4.6 – Students and Other Trainees:

- Respond to **whether students or other trainees will be involved** in the Outside Activity.

Step 6 of 12

Students and Other Trainees

Will any UA graduate students, undergraduate students, postdoctoral scholars, or other UA trainees (Trainees) be involved in the Outside Activity?

No Yes

[← UA Resources](#)
[Activity Details →](#)

- If you indicate “Yes,” you will be asked to:

- Add a Student or Trainee;**

+ Add Involved Person..

← UA Resources

- Enter the student using the “people picker” function (use either last name or NetID); and

Please list the individuals by name and indicate (1) how they will be involved in the Outside Activity and (2) whether you supervise the individual's research (either at UA or at the Outside Entity):

Search UofA Directory For Involved People(click name to add)

Last Name..

Stefan, Andrew [astefan] :
Stefan, Matthew Joshua [matthewstefan] Student Group B: Research Admin Services
Stefanakis, George [gestefanakis] Instructional Specialist: Pima County Office
Stefanakos, Helene Dorothy [stefanakos] Research Specialist: Yuma Agriculture Center-Res
Stefanic, Julie A [stefanic] Program Coordinator: Animal&Biomedical Sciences-Ext
Stefanko, Andrew Nicholas [astefanko1998] : Undergraduate - College of Engineering - No Major Selected Engineering
Stefanko, Kathryn Gail [kgstefanko] : Graduate - Graduate Degree Seeking - Applied Mathematics
Stefanovich, Alexander Thomas [astefanovich] : Graduate - Graduate Degree Seeking - International Security
Stefansic, Rachel Elizabeth [rachelstefansic] : Undergraduate - Eller College of Management - Pre-Business

- Describe (1) the Trainee’s role and (2) whether you supervise their research** (either at the Outside Entity or at the University).

Please list the individuals by name and indicate (1) how they will be involved in the Outside Activity and (2) whether you supervise the individual's research (either at UA or at the Outside Entity):

+ ██████████ student Undergraduate - College of Ag & Life Sciences - Veterinary Science | Research Admin Services | Student Group B

Trainee's Role and Research Relatedness:

| (required)

- Note: you can delete any students/trainees by clicking the red “x” by their names.
- Complete this process for each student and trainee** who will be involved in the Outside Activity. Below is an example of a completed version:

+ ██████████ student Undergraduate - College of Ag & Life Sciences - Veterinary Science | Research Admin Services | Student Group B

Trainee's Role and Research Relatedness:

Assistant Researcher in the Test group . I will supervise this research, but do not supervise him at UA.

Step 4.7 – Activity Detail:

- Fill in the requested information and answer the two questions.
- If you click “yes” for the “**legal proceedings**” question, the form will be made available to the Office of General Counsel for review.
- If you click “yes” for the “**other postsecondary institution**” question, the form will be made available to the Provost’s Office for review. You will also be asked to review a summary of the relevant section of the University Handbook on Appointed Personnel.

Activity Detail Step 7 of 12



How will your institutional responsibilities at the UA be covered in your absence?

Do you expect to testify or otherwise appear in legal proceedings or public hearings (including in front of a legislative body) as part of the Outside Activity?

No Yes

Will you be employed as a faculty member, professional staff, or administrator at any other postsecondary educational institution?

No Yes

 [Students / Trainees](#)[Research](#) 

Step 4.8 – Research:

- Answer the two questions.

Research Funding Step 8 of 12

Do you or will you conduct any research at UA funded by the Outside Entity?
 No Yes

Will you be performing any research or seeking any research grants or other research funding as part of your Outside Activity?
 No Yes

[← Activity Details](#) [Intellectual Property →](#)

- A “Yes” response to the 1st question will prompt additional information for you to read and confirm.
- A “Yes” response to the 2nd question will ask additional questions about the extent of overlap between the Outside activity and your research obligations at the University. You must also confirm certain additional statements.

Will you be performing any research or seeking any research grants or other research funding as part of your Outside Activity?
 No Yes

Will this research overlap with any part of your research obligations at the University of Arizona?
 No Yes

Please describe the nature and extent of any overlap.

Please note that, pursuant to the University's Consulting Policy ([UHAP 2.06.06](#)), private consultant groups composed of University personnel may not carry out private research contracts without approval from the University of Arizona.

By checking the box below, I understand and confirm that:

- I may not conduct research on behalf of an Outside Entity without the affirmative approval of by department head, dean, or other supervisor;
- I have discussed the proposed research with my relevant supervisor, including the extent of any overlap with my institutional responsibilities, and they have approved this activity; and
- I agree to abide by all UA policies relating to the overlap between my Institutional Responsibilities and any proposed research activities at the Outside Entity.

*By submitting this form, I confirm and agree to the foregoing statements.

[← Activity Details](#) [Intellectual Property →](#)

Step 4.9 – Intellectual Property:

- Answer the two questions.

Intellectual Property Step 9 of 12

As part of your Outside Activity, will you be using any inventions, ideas, methods, or any intellectual property that you developed at UA?
 No Yes

As part of your Outside Activity, will you or could you be asked to invent or create patentable material?
 No Yes

[← Research](#) [Special Conditions →](#)

- A “Yes” response to either will prompt additional information about the University’s Intellectual Property policy and your obligations under it, which include restrictions on your ability to use or assign ABOR-owned IP as part of your Outside Activity.

Step 4.10 – Special Conditions:

- **Occasionally, your Department or College administration (or Supervisor) may wish to impose additional conditions**, restrictions, or other terms in connection with their approval of this Conflict of Commitment Form. If you have discussed any such additions with your relevant approver(s), they should be memorialized on this step of the COC form.
- First, indicate whether any special conditions apply.


Will there be any special conditions of approval, as agreed upon with your supervisor?
 No Yes

[← Intellectual Property](#) [Recipients →](#)

- If you indicate yes, you will be able to either enter the conditions as free text, or upload a separate document that memorializes those conditions. You will need to indicate your agreement to the additional conditions by checking the box at the bottom of the screen.

No Yes

Please list below and acknowledge your agreement to the stated conditions. Alternatively, you may upload any addendum your supervisor, department or college requires as part of their approval of this form.

 Click or drag here to upload conditional approval documentation

*By submitting this form for approval, I agree to abide by the foregoing and/or uploaded terms.

Step 4.11 – Approvers and Reviewers:

- Because the COC form cannot automatically determine your supervisor(s), you will indicate that on this page.


Please list below the individuals who will need to approve this form. The following are the Conflict of Commitment Policy's requirements for primary and secondary approvers. Please also adhere to any additional guidelines issued by your college or administrative unit.

- If you are a Faculty member, this is your Department Head and your Dean.
- If you are not Faculty, this is your direct supervisor.


- Please note that if you are a researcher and have disclosed a financial interest in an outside entity through the COI Program's separate Financial Disclosure System, please be aware that each individual added as an Approver or Reviewer on this form will also see a list of those entities for which you have submitted financial disclosures (although no financial information will be listed).

- You will need to **select at least 1 primary approver**.

Primary Approver: (e.g., direct Supervisor or Department Head)


 Add Primary Approver

Secondary Approver: (e.g., Dean or other approver requested by your administrative unit - optional for non-faculty)

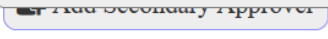
 Add Secondary Approver

- **Similar to Step 4.6**, you will add these individuals using the “people picker” function (use either last name or NetID).

Primary Approver: (e.g., direct Supervisor or Department Head)

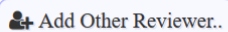
Search UofA Directory For Primary Approver(click name to add) 

Last Name

 Add Secondary Approver

- **You may also select one or more “reviewers.”** These are individuals who will be able to view, download and print the form, but who will not have an approval role. (They will also be able to designate additional reviewers, themselves.)

Additional UA personnel to copy on request for approval (e.g., administrative assistant, business officer, or other individual who needs to review or download a copy of this form):

 Add Other Reviewer..

Step 5 – Certify and Submit:

- Please carefully read the information displayed on this page and **indicate your agreement and certification** of the information in the form by clicking the “Certify and Submit” button.



Step 12 of 12

Conflict of Commitment Certification:

I have read The University of Arizona [Policy on Conflict of Commitment](#), the [University Handbook for Appointed Personnel](#) (including Section [2.06.06](#) on Consulting or Other Outside Employment and Section [2.06.08](#) on Conflict of Interest), and any College or Departmental policies that may apply. I attest that this activity conforms to all ABOR and University policies, including the [UA Intellectual Property Policy](#).

I will not grant, license or assign intellectual property rights to any person or entity in any manner that conflicts with my obligations, or ABOR claims of ownership, under [ABOR Policy 6-908](#).

If relevant, I will update my financial conflict of interest disclosure form in accordance with The University of Arizona [Individual Conflict of Interest in Research Policy](#) and/or [Institutional Conflict of Interest Policy](#).

 [Recipients](#) [Certify & Submit](#)

- **Congratulations! You are done!**
- Once you submit, the following occurs:
 - A completed version of the form containing your responses will be displayed.
 - You may print this form or download an archive copy by clicking the relevant button at the bottom of the form. (You will need to scroll down all the way.)
 - If you think of an additional reviewer, you can also add them now or by returning to view your completed form at a later date (see Step 1, above).



- An email will be sent to you acknowledging your submission.
- An email will be sent to your primary approver, prompting them to review and make a determination on your submitted form.
- An email will be sent to any listed reviewers, prompting them to review the form and download if necessary.
- **You can log-in to the system at any point to see the status of your submission.** Statuses include:
 - Unsubmitted / Working
 - Submitted
 - Primary Approval Complete, Secondary Approval Pending
 - Rejected
 - Rejected, Resubmission Requested
 - Approved By All
- **Upon final approval of your form, an email will be sent to all** approvers, reviewers and you indicating that the form was approved. If you indicated that the activity involves a startup, involves legal proceedings, or involves another postsecondary educational institution, an email notification will be sent to the relevant University office (i.e., TLA, OGC, or the Provost’s office, respectively) prompting them to review the form, as necessary.