



TITLE: **Institutional Conflicts of Interest**

PURPOSE: Identify institutional financial interests that may cause an institutional conflict of interests.

RESPONSIBILITIES: Organizational Official

PROCEDURES:

The Technology Transfer Office, Sponsored Projects Services, Research Partnerships Services, and the Office of General Counsel are to notify the Organizational Official when there is a change in the University of Arizona’s financial holdings not controlled by the University of Arizona’s investment managers related to:

- Licensing
- Investments
- Gifts
- Other financial interests

The fiduciary responsibility of the University of Arizona’s investment managers is to maintain a diversified portfolio of holdings that meets the University of Arizona’s goals in terms of capital appreciation, income, and risk. Institutional officials may not influence the decisions of the University of Arizona’s investment managers. The University of Arizona considers such investments to be similar to diversified mutual funds and not subject to disclosure under this policy.

Upon receipt of this information, update the list of the University of Arizona’s investments. Include:

- Information about the name of the company,
- The names of related companies, and
- Affected products or services.

Provide a copy of the updated list to the HSPP staff.

MATERIALS:

None

REFERENCES:

None

REVIEW/REVISIONS: From 10/01/2010 version: Renumbered from P&P-014.