

**Outside Interests and Outside Appointments Declaration and Approval Form (OA1)**

**All academic and research staff, academic-related staff, emeriti who are actively engaged in research at the University 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 declare and seek prior approval from their Head of Department or Faculty Board Chair to:**

1. **hold an outside appointment; or**
2. **hold an underlying appointment with another (including previous) employer, at times when they would be expected to be working for the University; or**
3. **set up or take a financial interest (including any shareholding) in any business or other external entity which could give rise to a perceived or actual conflict of interest with their University role; or**
4. **undertake consulting (whether privately or through Oxford University Innovation Limited); or**
5. **become an executive or non-executive director of an external entity.**

Council Regulations 5 of 2004 require prior approval for the holding of outside appointments and the conduct of outside work *(Note 1) or consultancy (Note 2).* This form must be completed whether or not you are applying for approval to spend time (under the [‘30 day rule’](https://hr.admin.ox.ac.uk/holding-outside-appointments)) on the activity.

APPROVALS MUST BE SOUGHT PRIOR TO ENTERING INTO FORMAL COMMITMENTS.

ACADEMIC STAFF: Please use Form **OA2** to submit NIL Returns at the end of an academic year (1 October to 30 September)*.* *(Note 6)*

Notes of guidance are at the end of the OA1 form (page 5). The completed form should be retained by the department. Details of outside appointments will be held in the University’s HR system, PeopleXD. A copy should be provided to the applicant.

|  |  |  |  |
| --- | --- | --- | --- |
| 1. **Applicant details** | | | |
| Name |  | Department/Faculty |  |

|  |  |
| --- | --- |
| 1. **Nature of outside appointment or activity** | ***Tick all categories that apply*** |
| ***Consultancy*** - via Consulting Services at Oxford University Innovation (OUI) Limited |  |
| ***Consultancy*** - private/independent (that is, not through OUI Limited) |  |
| ***Directorship*** (Executive or Non-executive; paid, unpaid or honorary) |  |
| **University spin-out company** (through OUI) 1 |  |
| **Start-up company** (other than a University spin-out)[[1]](#footnote-1) |  |
| **University subsidiary company or joint venture** |  |
| **Paid employment** (by an external employer) |  |
| **Shareholding** in a business or other entity, which could give rise to a perceived or actual conflict of interest with your University role |  |
| **Voluntary work** within the University’s working hours[[2]](#footnote-2) |  |
| University staff holding an **underlying appointment with another employer** |  |
| **Visiting Professorship[[3]](#footnote-3)** |  |
| **Other** *(please describe)* |  |

|  |  |  |
| --- | --- | --- |
| 1. **Details of External Organisation connected with the outside appointment, activity, shareholding or other interest** | | |
| Name |  | |
| Address |  | |
|  | |
| Country where organisation is located: |  | |
| Do you have or intend to acquire any **financial interest** **or** **shareholding** in this organisation (held by you, an immediate family member, or a person with whom you have a close personal relationship, [as defined in the Conflict of Interest policy](https://researchsupport.admin.ox.ac.uk/governance/integrity/conflict/policy))? | | Yes / No |
| If Yes, what is the current/proposed interest or percentage shareholding? | | < 5%  5 - 24.9%  25 - 49.9%  > 50% |
| Provide any other relevant information about the organisation: |  | |
| In the case of arrangements with University **spin-out companies**, please detail any **intellectual property**, including know how, which may be introduced and names of other University staff or students involved. Please include here details of any external funding or collaboration that may have contributed to the development of such intellectual property[[4]](#footnote-4) |  | |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| 1. **Period of appointment or activity** | | | | |
| Start date |  | End Date |  | |
| Number of Days Committed in the *current* academic year (1 October – 30 September) under the appointment | | | |  |
| Number of Days Committed in the *next* academic year under the appointment | | | |  |

|  |  |  |  |
| --- | --- | --- | --- |
| 1. **Other outside work activities/appointments**   Please state all other outside activities or outside work which you have already gained permission to undertake or might expect to apply to undertake during the period covered by the current application. | | | |
| **External Organisation** | **Nature of Activity** | **Days required in current academic year (1 October *-* 30 September)** | **Days required in next academic year (1 October *-* 30 September)** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  | |  |
| 1. **Declaration -** In regard to the current application: | | | ***Select answer*** |
| **Conflict of Interest** | | |  |
| Might the proposed arrangement create, in relation to your work at the University, any actual or perceived conflict of interest?  If you answered “Yes” to (i), has this been declared to your Head of Department?  If you answered “Yes” to (ii), please delete one of the following as appropriate:   * I have agreed with my Head of Department that a conflict of interest management plan is not required / OR   I have agreed a conflict of interest management plan with my Head of Department and a copy is appended. | | | Yes / No  Yes / No  Yes / No |
| I undertake to comply with the [University’s Policy on Conflict of Interest](https://researchsupport.admin.ox.ac.uk/governance/integrity/conflict/policy) (*Note 3*). | | | Yes / No |
| **Intellectual property (IP) and know-how** | | |  |
| 1. I am satisfied that the provisions of the proposed arrangement safeguard the [University’s rights in intellectual property](https://researchsupport.admin.ox.ac.uk/innovation/ip/policy) which may arise during the course of my work for the University and the confidentiality of know-how generated in that context. You should seek advice from [Research Services](https://researchsupport.admin.ox.ac.uk/contacts/rfc) where needed.   If you answered “No” to (v), please comment. | | | Yes / No |
| **Research grant or contracts** | | |  |
| 1. I am satisfied that the proposed arrangement is permitted under the terms of any external research grant or contract in which I am involved (or confirm that I have obtained the necessary permissions from the research funder/collaborator). If unsure, you should seek advice from [Research Services](https://researchsupport.admin.ox.ac.uk/contacts/rfc).   If you answered “No” to (vii), please comment. | | | Yes / No / N/A |
| **Working or collaborating internationally** | | | |
| Where working or collaborating with an organisation outside of the UK, I am satisfied that the proposed arrangement will not give rise to any security-related issues, and I will comply with legal and regulatory requirements (including UK or international export control regulations). For more information and sources of advice/contact, see the [Trusted Research](https://researchsupport.admin.ox.ac.uk/trusted-research) and [Export Control](https://researchsupport.admin.ox.ac.uk/policy/export) pages.  If you answered “No” to (ix), please comment. | | | Yes / No / N/A |
| **Use of University IT or facilities** | | | |
| 1. I shall abide by the [University Regulations Relating to the use of Information Technology Facilities*.*](https://governance.admin.ox.ac.uk/legislation/it-regulations-1-of-2002) | | | Yes / No |
| 1. I confirm that I shall not make use of any University facilities to pursue my outside activity or work without first obtaining the approval of the Head of the Department for arrangements for such use (including reimbursement at the appropriate economic rate) (see [Financial Regulations 8.4](https://governance.admin.ox.ac.uk/legislation/council-regulations-1-of-2010#collapse1434361)). | | | Yes / No |

***And if the application relates to consulting work to be done privately/independently (and not through Consulting Services at Oxford University Innovation)***

|  |  |
| --- | --- |
| 1. I (or my consultancy company which will be the legal contractor) will hold appropriate insurance. | Yes/No |
| 1. I will make it clear to the client that the University is not involved in the consultancy agreement in any way and that I am acting in a private capacity, and I will ensure that my consultancy arrangements do not result in financial, reputational or other risk to the University. | Yes/No |
| *Please see* ***Appendix A*** *to assist with (anonymous) reporting to UK funding bodies.* | |

Applicant signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |
| --- | --- |
| 1. **Approval by the Head of Department/Faculty Board Chair (or Head of Division, if appropriate)** *(Note 4)* | |
| I am satisfied: |  |
| 1. with the terms of the application as set out above; | Yes / No |
| 1. that this outside commitment will not hinder the applicant from fully carrying out the prescribed duties of their University post; | Yes / No |
| 1. that, where the outside commitment exceeds 30 days, I have authorised an adjustment to the individual’s salary; | Yes / No /  N/A |
| 1. that the activities will not result in an actual or perceived conflict of interest with the applicant’s duties to the University OR that I have agreed a conflict of interest management plan with the applicant to appropriately manage arising conflicts of interest (see Note 3). | Yes / No |
| 1. that the outside commitment and activities do not give rise to any reputational, regulatory, security-related or other risks for the department/faculty and/or the University (including, but not exclusively, where the commitment or activity involves an organisation based outside of the UK) (see Note 5). | Yes / No |
| Please note here any special conditions associated with your approval: |  |

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

*Once signed by the Head of Department/Faculty Board Chair or Head of Division, if applicable (Note 6) and a copy has been provided to the applicant, the information should be recorded in PeopleXD.*

**Notes on the completion of the OA1 Form**

1. University Policy is set out in ‘[Council Regulations 5 of 2004: Regulations for the holding of outside appointments and the conduct of outside work’](https://governance.admin.ox.ac.uk/legislation/council-regulations-5-of-2004) with ‘[Guidance Notes for the holding of outside appointments’](https://hr.admin.ox.ac.uk/holding-outside-appointments).
2. The [University’s Consultancy Policy and Procedures](https://researchsupport.admin.ox.ac.uk/innovation/consultancy/consultancy), approved by Personnel Committee.
3. [A conflict of interest can occur when your duties to the University compete with your personal interests or your duties to other people or organisations. Actual or perceived conflicts can arise from external activities that are undertaken in addition to your University role, personal relationships, or conflicting roles within the collegiate University. They can be financial, non-financial or both.](http://www.admin.ox.ac.uk/media/global/wwwadminoxacuk/localsites/personnel/documents/informationforstaff/Consulting_Policy_and_Procedures.pdf)

See [Policy and additional guidance for information on conflict of interest management plans](https://researchsupport.admin.ox.ac.uk/governance/integrity/conflict). Where your outside appointment is to a spin-out company in which you own or will own a shareholding, Research Services must review the conflict of interest management plan prior to the approval of the Head of Department.

1. The person who signs the forms should be (a) the Head of Department or Faculty Board Chair; or (b) the Head of Division if the applicant is a Head of Department, or the application is for a total of more than 30 days per academic year (1 October to 30 September); or the line manager of the senior officer making the application (where applicable).

For the avoidance of doubt, the application should be made to the Vice-Chancellor in respect of each of the Pro-Vice-Chancellors with portfolio, the Heads of Division, the Registrar and Bodley’s Librarian.  In the case of the Vice-Chancellor, he or she should submit an application to the Chancellor; the person at the next higher level of authority if the Head of Department (or equivalent) has an interest in the appointment or activity.

1. Guidance on security-related issues in research and collaboration, particularly when working in an international context, is available on the University’s [Trusted Research](https://researchsupport.admin.ox.ac.uk/trusted-research) pages. This includes guidance on (i) due diligence on external parties; (ii) compliance with legal and regulatory frameworks, including export control regulations which govern the transfer of goods, information, technology or know-how outside of the UK (and where failure to comply is a criminal offence); (iii) other steps to protect intellectual assets and avoid interference is academic activities.
2. Academic members of staff who do not need to fill in an OA1 form are requested to complete an OA2 form. This form will be sent at the end of each academic year (1 October to 30 September), so that staff can submit a Nil return.

**Appendix A**

**Private consultancies*[[5]](#footnote-5)* only**

**Please help us report to the Higher Education Statistics Agency (HESA) and thereby generate funding for the University**

*The data you provide below will be used only to report in aggregate to HESA through the annual* [*HE-BCI survey*](https://www.ukri.org/councils/research-england/our-funds-for-research-and-knowledge-exchange/the-higher-education-business-and-community-interaction-survey/)*. No personal / individual identifiers are reported to HESA through the survey. The data will not be used by the University for any other purpose.*

|  |  |
| --- | --- |
| [*UKRI Higher Education Innovation Fund (HEIF) funding*](https://www.ukri.org/what-we-offer/browse-our-areas-of-investment-and-support/higher-education-innovation-fund/) *to the University is influenced by the data we can provide about consulting activity via the* [*annual HE-BCI survey*](https://www.ukri.org/councils/research-england/our-funds-for-research-and-knowledge-exchange/the-higher-education-business-and-community-interaction-survey/)*.* ***To maximise HEIF funding to Oxford*** *- funding which supports a wide variety of Knowledge Exchange and Impact activities -* ***we need to report on two aspects of consulting activities undertaken by academic staff.***  *The data provided below will be used only to report in aggregate to HESA. No personal / individual identifiers are reported to HESA. The data will not be used by the University for any other purpose.* | |
| 1. Please indicate the total payment ‘band’ | ***Tick one*** |
| < £1k |  |
| £1k to £4.99k |  |
| £5k to £9.99k |  |
| £10k to £14.99k |  |
| £15k to £19.99k |  |
| £20k and above |  |
| Other  *Please estimate the total payment to you: £ \_\_\_\_\_\_\_\_\_\_\_* |  |

|  |  |
| --- | --- |
| 1. What **Business Type** of organisation is the consultancy with? | ***Tick one*** |
| [Small-to-Medium Sized Enterprise (SME)](https://www.hesa.ac.uk/collection/c21032/hebci_b_table_2) commercial organisation  *SMEs are classified as having fewer than 250 employees, and an annual turnover of not exceeding 50 million euros or an annual balance sheet total not exceeding 43 million euros* |  |
| Other (non-SME) commercial organisation |  |
| Non-commercial organisation |  |

1. A “spin-out” is a company founded on University-owned IP, a “start-up” is a company founded, usually by University members or students, but not using University IP. [↑](#footnote-ref-1)
2. Volunteers working for the University must adhere to the conflict of interest policy. Employees performing voluntary public service must also adhere to the conflict of interest policy if this service relates to their University work. [↑](#footnote-ref-2)
3. unless the requirement is only to give occasional guest lectures, or a one-off lecture with an honorarium [↑](#footnote-ref-3)
4. The purpose of this information is to assist the University in determining the legal title and any potential third-party rights in connection with intellectual property rights or new technology. [↑](#footnote-ref-4)
5. Data on consultancies managed through Consulting Services at Oxford University Innovation will be sourced directly [↑](#footnote-ref-5)