

Disclosure of Outside Interests, Commitments, and Compensation

Instructions

This disclosure form is for employees of The University of Tennessee (UT) and other individuals to disclose outside interests and commitments as required by UT's Conflict of Interests Policy (FI0125). Employees holding 9-month appointments should disclose year-round activities (both academic and summer months). This disclosure form is required for all employees with active payroll status, excluding:

- Seasonal employees;
- Event staff; and
- Undergraduate students.

An interest or commitment must be disclosed if it:

- Exists at the time of this filing;
- Existed during the previous twelve months, even if the conflict no longer exists; or
- Is anticipated to exist within the twelve months following this filing.

If you have questions about completing the disclosure form, please contact [_____].

Purpose(s) of Submission:

- Disclosure for new employee
- Annual disclosure
- Disclosure required due to sponsor requirements, such as Public Health Service (PHS) funded research
- Report changes to previously disclosed information

Please answer each of the following questions as accurately and completely as possible. In disclosing the requested information, you should resolve any uncertainty in favor of disclosure.

1. **Outside affiliations.** Are you an employee, board member, director, officer, consultant, contractor, or are otherwise affiliated with any external (non-UT) entity? Include for-profit entities (i.e., companies, corporations, partnerships, LLCs, etc.), non-profit entities, and other colleges and universities.

If yes, prompt the following additional questions (referred to elsewhere herein as "Question Set A"):

- a. Enter the following information separately for each entity:

- i. Entity name:
- ii. Description of business/activity of the entity:
- iii. Description of your duties and obligations to the entity:
- iv. Is the entity a foreign government, foreign college or university, foreign company, or other foreign organization?
- v. Does the entity compete with UT or bid on, contract with, or conduct business with UT?
- vi. What is your relationship with the organization (check all that apply):
 - Board member, director, officer
 - Employee (List position/title: _____)
 - Consultant/contractor
 - Ownership Interest
 - Other (Describe: _____)
- vii. Do you have any ownership interest in this entity?
- viii. What is the aggregate amount of compensation (including salary, consulting fees, royalties, honoraria, speaking fees, and stock or membership interests) you received from the entity in the previous 12 months?
- ix. Do you have a contract with the entity?
- x. What is your estimated monthly time commitment and overall time duration of services for the entity?
- xi. Does your affiliation with this entity compete with your UT responsibilities?
- xii. Do you use any UT personnel, students, funds, or resources in support of your outside activities with this entity?
- xiii. Do you use any products or services made by this entity during the performance of your UT responsibilities?
- xiv. Does the entity sponsor your research or other UT work through sponsored programs or gifts to UT?
- xv. Has the entity paid for, sponsored, reimbursed, otherwise supported your travel in the previous 12 months? If so, what was the location and the estimated value of the travel during that 12-month period?

2. **Business ownership interests.** Do you have any of the following ownership interests?

- a. Are you the sole owner of any company or business?
- b. Do you have any ownership, equity, or other financial interest in any business or entity that is not publicly held?
- c. Do you have an ownership, equity, or other financial interest in any publicly-held company that exceeds \$5,000 in value or 5% of the entity (you do not need to disclose ownership through retirement accounts or mutual funds)?

If yes, prompt Question Set A.

3. **External academic relationships.** Do you have any relationship with any external (non-UT) colleges, universities, or other academic institutions? Include all entities for which you hold a faculty, research, or courtesy appointment, teach classes, have a research laboratory, or serve on a dissertation committee or as a student advisor.

If yes, prompt Question Set A.

4. **Foreign relationships.**

- a. Do you have any relationship with any foreign government, foreign college or university, foreign company, or other foreign organization (including contracts, consulting arrangements, or other relationships)?
- b. Are you a member of, or have you been asked to participate in, any foreign government talent recruitment program? (In general, a foreign government talent recruitment program includes any foreign government-sponsored, foreign government-run, or foreign government-funded recruitment programs that may be focused on improving basic research or establishing dominance in emerging technology sectors.)

If yes, prompt Question Set A.

5. **Intellectual property.**

- a. Do you receive any financial compensation from intellectual property rights (patents, copyrights, trademarks, etc.), other than compensation paid from UTRF? If yes, please describe all compensation, including income from the license, sale, or use by others of the intellectual property.
- b. Does any other person or entity receive any financial compensation from intellectual property rights that you own? If yes, describe:
- c. Do you receive any compensation from intellectual property rights owned by your parents, spouse, or children? If yes, describe:
- d. Do you use intellectual property owned by your parents, spouse, or children in your work for UT or for any other entity? If yes, describe:

6. **Funding or sponsorship of your activities.** Has any external (non-UT) entity paid for, sponsored, reimbursed, or otherwise supported your research, publications, or other academic or

commercial activities in the previous 12 months, other than through a UT sponsored project or gift account?

If yes, prompt Question Set A.

7. **Funding or sponsorship of your travel.** Has any external (non-UT) entity paid for, sponsored, reimbursed, or otherwise supported your travel in the previous 12 months?

If yes, prompt Question Set A.

8. **Foreign Travel.** Have you traveled to any of the following countries [add list or hyperlink to list] in the previous 12 months?

If yes, prompt the following additional questions:

- a. To which country did you travel?
 - b. What was the purpose of your travel?
 - c. Was your travel funded or sponsored by any non-UT entity or organization?
9. **Outside interests of your immediate family.** Do your parents, spouse, or children have an ownership, equity or other financial interest in; serve as an officer, director, board member, or employee of; or receive compensation from, any entity that contracts or conducts business with UT? Please include for-profit entities (i.e., companies, corporations, partnerships, LLCs, etc.), and non-profit entities.

If yes, prompt Question Set A.

10. **Services performed for you or your immediate family by UT employees or students.** Has any UT employee or student (including residents, fellows, or postdocs) performed any personal services for you, or your parents, spouse, or children, in the previous 12 months?

If yes, prompt the following additional questions:

- a. Name of UT employee or student:
- b. Describe the services performed:
- c. Compensation paid to the UT employee or student:

11. **Research activities.** Are you a project director, principal investigator (PI), co-PI, key personnel member, or otherwise responsible for the design, conduct, or reporting of research, or proposals for research funding, with regard to any U.S. federal agency or entity?

If yes, prompt for the following additional questions:

- a. At this time or at any time within the previous 12 months, have you or your immediate family members (spouse and dependent children):
 - i. Received any compensation or remuneration, monetary or otherwise, from any single external (non-UT) entity operating in areas relating to your UT responsibilities?
 - ii. Held any ownership, equity, or other financial interest in any privately held company?

If yes to any of the additional questions, prompt Question Set A.

12. **Other outside compensation.** Other than those items disclosed in response to previous questions, have you received any compensation (including salary, consulting fees, royalties, honoraria, speaking fees, paid authorship, and stock or membership interests) from any other external (non-UT) entity or source in the previous 12 months?

If yes, prompt Question Set A.

13. **Other disclosures.** Other than those items disclosed in response to previous questions, do you have any outside interests, activities, or relationships that conflict, could potentially conflict, or could appear to a reasonable person to conflict, with your job duties, responsibilities, or commitments at UT?

If yes, provide free text box.

14. **Personal and family relationships at UT.** In your position at UT, do you supervise or have influence over any UT employee or student with whom you have a familial relationship (parent, spouse, or child) or external (non-UT) business relationship?

If yes, prompt the following additional questions:

- a. Name of UT employee or student:
- b. Describe your relationship with the UT employee or student:

15. **Athletically related income.** Do you work in the athletics department of any UT campus?

If yes, prompt the following additional question:

- a. During the most recent fiscal year (July through June), did you receive \$600 or more in athletically related income or benefits that are not outlined in your employment contract?

Athletically related income or benefits are any income or benefits having an athletics nexus or related to your reputation or ability or provided because you are affiliated or employed with the institution. Examples of athletically related income or benefits include, but are not limited to, the following: (1) employment or ownership of sports camps; (2) endorsement or consultation contracts with apparel or equipment manufacturers; (3) participation in television and radio programs; (4) honorariums for speaking engagements; (5) housing or transportation benefits; and (6) income or benefits derived from ownership, control or management of a foundation, organization or other entity.

If yes, prompt Question Set A.