

## **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:

- Could be perceived to be related in any way to your UT responsibilities;
- 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 consult your campus/institute Chief Business Officer or Human Resources Officer. For research-related questions, contact research compliance.

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### **Purpose(s) of Submission:**

- Disclosure for new employee
- Annual disclosure
- Report changes to previously disclosed information

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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.) and non-profit entities. Exclude part-time retail and restaurant service positions.

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. Do you have any ownership interest in this entity?
  - vii. Was the aggregate amount of compensation you received from the entity in the previous 12 months?:
    - Less than \$5,000
    - Between \$5,001 and \$10,000
    - \$10,001 or more.

Please note that UT may require further information regarding outside compensation.

- viii. Do you have a contract with the entity? *If yes, please attach it.*
- ix. What is your estimated monthly time commitment and overall time duration of services for the entity?
- x. Does your affiliation with this entity compete with your UT responsibilities?
- xi. Do you use any UT personnel, students, funds, or resources in support of your outside activities with this entity?
- xii. Do you use any products or services made by this entity during the performance of your UT responsibilities?
- xiii. Does the entity sponsor your research or other UT work through sponsored programs or gifts to UT?

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

- a. Do you have any ownership, equity, or other financial interest in any business or entity that is not publicly held?

If yes, prompt Question Set A.

- b. 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, list the name of each company. A spreadsheet may be attached here.

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.

If yes, prompt Question Set A.

4. **Foreign relationships.**

- a. Do you have any foreign research funding or non-financial support (such as but not limited to equipment, facilities access, or personnel) which is not processed through the University of Tennessee?

If yes, enter the following information separately for each entity:

- i. Entity name
  - ii. Country
  - iii. Amount of funding or resources
- 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, explain the relationship and attach both the original signed agreement AND an English translation.

5. **Intellectual property.**

- a. Do you receive any financial compensation from intellectual property rights (patents, copyrights, trademarks, textbook royalties, 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 other than through a UT sponsored project or gift account, in either the past 12 months or is anticipated to do so in the next 12 months?

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 or is anticipated to do so in the next 12 months? Exclude federal, state or local government agencies, US higher education institutions, US academic teaching hospitals, US medical centers or research institutes affiliated with a US institution of higher education.

If yes, enter the following information separately for each entity:

- I. Entity Name:
  - II. Purpose of Travel:
  - III. Location of Travel:
  - IV. Value of Travel:
8. **Foreign Travel.** Have you traveled to any of the following countries [from the Department of Commerce Entity List] in the previous 12 months or do you anticipate traveling to any of the following countries in the next 12 months (exclude vacations and family visits)?

Afghanistan	Israel	Russian Fed
Albania	Ivory Coast	Saudi Arabia
Argentina	Jordan	Serbia
Armenia	Kazakhstan	Sierra Leone
Azerbaijan	Kuwait	Singapore
Bahrain	Kyrgyzstan	Slovenia
Belarus	Laos	Somalia
Bosnia-Herz	Latvia	South Africa
Bulgaria	Lebanon	South Korea
Cambodia	Liberia	South Sudan
China	Libya	Sri Lanka
Congo	Lithuania	Sudan
Congo (Zaire)	Macau	Syria
Cuba	Macedonia	Taiwan
Cyprus	Malaysia	Tajikistan
Egypt	Moldavia	Turkey
Eritrea	Mongolia	Turkmenistan
Estonia	Montenegro	Ukraine
Georgia	Myanmar	United Arab Emirates
Haiti	North Korea	Uzbekistan
Hong Kong	Oman	Venezuela
India	Pakistan	Vietnam
Indonesia	Qatar	White Russia

Iran	Romania	Yemen
Iraq	Ruanda	Zimbabwe

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, enter the following information separately for each entity:

- i. Entity name
  - ii. Title of position held by immediate family member
10. **Services performed for you or your immediate family by UT employees or students.** Has any UT employee or student, whom you supervise, advise or instruct, performed any personal services for you, or your parents, spouse, or children, in the previous 12 months or in the next 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 responsible for the design, conduct, or reporting of research, or proposals for research funding?

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, enter the following information separately for each entity:

- iii. Entity name
- iv. Title of position held by you or your immediate family member

12. **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.

13. **Personal and family relationships at UT.** In your position at UT, do you supervise 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:

14. **Athletic Income.**

- a. During the most recent fiscal year (July through June), did you receive athletically related income from sources outside the University that exceeded (in total) \$600 or cash equivalents? Do not include information or amounts related to a Nike Elite account as these arrangements are already disclosed to the University.

If yes, prompt the following questions:

- i. Income amount (including the dollar value or estimated dollar value)
  - ii. Person or entity from whom you received the income
  - iii. When you received the income
- b. During the most recent fiscal year (July through June), did you receive athletically related benefits or tangible items from sources outside the University of dollar value?

- i. Benefit or tangible item value (including the dollar value or estimated dollar value)
  - ii. Person or entity from whom you received the benefit or tangible item
  - iii. When you received the benefit or tangible items
  
- c. If you have an employment agreement with the University and outside athletically related income and benefits are described in your employment agreement, you should still respond to questions a and b but you do not need to describe the income and benefits already disclosed in your employment agreement.

Disclosed in employment agreement