

Disclosure of Outside Interests, Commitments, and Compensation

Name:

Employer (primary place of employment):

Instructions

This disclosure form is for individuals required to disclose outside interests and commitments in accordance with UT's Conflict of Interests Policy (FI0125).

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.
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Purpose(s) of Submission:

Disclosure for outside consultant/sub-awardee
Disclosure for new employee
Annual disclosure
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.) and non-profit entities. Exclude part-time retail and restaurant service positions. Yes No

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

i. **Entity 1** 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? Yes No

v. Does the entity compete with UT or bid on, contract with, or conduct business with UT? Yes No

vi. 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.

- vii. Do you have a contract with the entity? Yes No
If yes, please attach it.
- viii. What is your estimated monthly time commitment and overall time duration of services for the entity?
- ix. Does your affiliation with this entity compete with your UT responsibilities?
Yes No
- x. Do you use any UT personnel, students, funds, or resources in support of your outside activities with this entity? Yes No
- xi. Do you use any products or services made by this entity during the performance of your UT responsibilities? Yes No
- xii. Does the entity sponsor your research or other UT work through sponsored programs or gifts to UT? Yes No
- xiii. Do you have any ownership interest in this entity? Yes No

i. **Entity 2** 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? Yes No

v. Does the entity compete with UT or bid on, contract with, or conduct business with UT? Yes No

vi. 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.

vii. Do you have a contract with the entity? Yes No

If yes, please attach it.

viii. What is your estimated monthly time commitment and overall time duration of services for the entity?

ix. Does your affiliation with this entity compete with your UT responsibilities?

Yes No

x. Do you use any UT personnel, students, funds, or resources in support of your outside activities with this entity? Yes No

- xi. Do you use any products or services made by this entity during the performance of your UT responsibilities? Yes No
- xii. Does the entity sponsor your research or other UT work through sponsored programs or gifts to UT? Yes No
- xiii. Do you have any ownership interest in this entity? Yes No

For additional entities, answer i. - xiii. for each outside entity on separate page.

2. **Business ownership interests.**

- a. Do you have any ownership, equity, or other financial interest in any business or entity that is not publicly held? Yes No

If yes, 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? Yes No

- v. Does the entity compete with UT or bid on, contract with, or conduct business with UT? Yes No

- vi. 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.

- vii. Do you have a contract with the entity? Yes No

If yes, please attach it.

- viii. What is your estimated monthly time commitment and overall time duration of services for the entity?

- ix. Does your affiliation with this entity compete with your UT responsibilities?

- Yes No

- x. Do you use any UT personnel, students, funds, or resources in support of your outside activities with this entity? Yes No

- xi. Do you use any products or services made by this entity during the performance of your UT responsibilities? Yes No
 - xii. Does the entity sponsor your research or other UT work through sponsored programs or gifts to UT? Yes No
 - xiii. Do you have any ownership interest in this entity? Yes No
- 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)? Yes No

If yes, 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? Yes No
- v. Does the entity compete with UT or bid on, contract with, or conduct business with UT? Yes No
- vi. 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.

- vii. Do you have a contract with the entity? Yes No

If yes, please attach it.

- viii. What is your estimated monthly time commitment and overall time duration of services for the entity?
- ix. Does your affiliation with this entity compete with your UT responsibilities? Yes No
- x. Do you use any UT personnel, students, funds, or resources in support of your outside activities with this entity? Yes No
- xi. Do you use any products or services made by this entity during the performance of your UT responsibilities? Yes No

xii. Does the entity sponsor your research or other UT work through sponsored programs or gifts to UT? Yes No

xiii. Do you have any ownership interest in this entity? Yes No

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. Yes No

If yes, 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? Yes No

v. Does the entity compete with UT or bid on, contract with, or conduct business with UT? Yes No

vi. 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.

vii. Do you have a contract with the entity? Yes No

If yes, please attach it.

viii. What is your estimated monthly time commitment and overall time duration of services for the entity?

ix. Does your affiliation with this entity compete with your UT responsibilities?

Yes

No

x. Do you use any UT personnel, students, funds, or resources in support of your outside activities with this entity? Yes No

xi. Do you use any products or services made by this entity during the performance of your UT responsibilities? Yes No

xii. Does the entity sponsor your research or other UT work through sponsored programs or gifts to UT? Yes No

xiii. Do you have any ownership interest in this entity? Yes No

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? Yes No

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.

Yes No

If yes, explain the relationship and attach both the original signed agreement AND an English translation.

5. **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? Yes No

If yes, 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? Yes No

v. Does the entity compete with UT or bid on, contract with, or conduct business with UT? Yes No

vi. 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.

vii. Do you have a contract with the entity? Yes No

If yes, please attach it.

viii. What is your estimated monthly time commitment and overall time duration of services for the entity?

ix. Does your affiliation with this entity compete with your UT responsibilities?

Yes No

x. Do you use any UT personnel, students, funds, or resources in support of your outside activities with this entity? Yes No

xi. Do you use any products or services made by this entity during the performance of your UT responsibilities? Yes No

xii. Do you have any ownership interest in this entity? Yes No

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? 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. Yes No

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:

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? Yes No

If yes, prompt for the following additional questions:

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?

Yes No

- ii. Held any ownership, equity, or other financial interest in any privately-held company? Yes No

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

- Entity name:
- Title of position held by you or your immediate family member:

6. **Outside interests of your immediate family.** Do your parents, spouse, or children conduct business with, receive compensation from UT, or do they 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. Yes No

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

- Entity name
- Title of position held by immediate family member

7. **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? Yes No

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? Yes No

If yes, describe:

- c. Do you receive any compensation from intellectual property rights owned by your parents, spouse, or children? Yes No

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? Yes No

If yes, describe:

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

If yes, prompt the following additional questions:

- To which country did you travel?
- What was the purpose of your travel?
- Was your travel funded or sponsored by any non-UT entity or organization?
Yes No

9. **Services performed for you or your immediate family by UT employees or students.** Has any UT employee or student (including residents, fellows, or postdocs), 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?
Yes No

If yes, prompt the following additional questions:

- Name of UT employee or student:
 - Describe the services performed:
- Compensation paid to the UT employee or student:

10. **Personal and family relationships at UT.** In your position at UT, do you supervise any UT employee or student (including resident, fellow, or postdoc) with whom you have a familial relationship (parent, spouse, or child) or external (non-UT) business relationship?
Yes No

If yes, prompt the following additional questions:

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

11. **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? Yes No

If yes, please describe:

I understand that if I acquire an interest during the year that requires disclosure, I will take initiative to disclose it. I also acknowledge that I must complete a new form annually as long as an interest I have previously disclosed exists.

I acknowledge that I have read and understand the [University's Conflict of Interests Policies \(FI0125\)](#) and have made all necessary disclosures.

Signature:

Date:

Review

In your opinion, does the information disclosed represent a potential conflict of interests with the individual's University responsibilities or activities with sponsoring organization?

Yes No

Reviewer comments, if applicable

Approval

Signature:

Date: