

REPORT OF NON-UNIVERSITY ACTIVITIES EXPLANATION AND INSTRUCTIONS

The Report of Non-University Activities form is the University's implementation of State law and University regulations requiring all faculty and academic staff to disclose and request prior approval for their non-University income producing activities each year. The University Policy on Conflicts of Commitment/Interest, including sanctions, is available on-line at: <http://www.research.uiuc.edu/coi/>.

The reporting objective is *not* to discourage outside activities, but to assist you in arranging them to be compatible with your University employment. Since outside professional activities of faculty and academic staff often enhance professional skills and serve the public, such activities are appropriate unless they give rise to a conflict of commitment or interest. Please note:

- (1) Faculty and academic staff members must obtain prior written approval for outside activities from the unit executive officer,
- (2) University policy permits academic professionals to perform outside activity if the unit head approves the activity according to campus guidelines,
- (3) Personal activities (those unrelated to professional skills) are generally not the University's concern, unless they impinge upon service to the University.

INSTRUCTIONS FOR COMPLETING THE FORM

(For assistance/questions, please call the Office of the Vice Chancellor for Research at 333-0034.)

- **You (faculty, academic staff, postdoctoral research associates) are asked to complete only page one of the pdf form (Part I and Part II) found at http://www.research.uiuc.edu/coi/COI_Form_0910.pdf.**
- **When completed, return the form to your unit office by October 2.**
- **Your unit head and dean will complete page two of the form.**
- For the purposes of this report, a "day" means a conventional "working day" of approximately eight hours. So, for example, if you spend two hours on an outside activity during each of four calendar days, report "one day." The University contract period includes evenings, weekends and holidays during the term of employment.

PART I – CONFLICT OF INTEREST SCREENING QUESTIONS

- 1) Indicate as appropriate, and attach description if your answer is "yes".
- 2) Indicate as appropriate, and attach description if your answer is "yes". Please note that several sections of the *Policy on Conflicts of Commitment and Interest* cover the financial and business interests of your immediate family (spouse/children). Whether a financial interest is "significant" will vary with circumstances. In connection with federally funded research, federal regulations define "significant" as financial interests in business enterprises or entities that exceed \$10,000 or represent more than 5% ownership regardless of dollar value. On the state level, the Illinois Procurement Code prohibits the award of University contracts to companies in which University employees who earn more than 60% of the Governor's salary have either (a) ownership interests in excess of 7 ½% or (b) entitlements to annual income in amounts in excess of the salary of the Governor. (The Governor's salary is \$177,500 as of July 30, 2009.) If you have questions about whether an interest is "significant," you should discuss them with your department head or call the Office of the Vice Chancellor for Research at 333-0034.
- 3) Indicate as appropriate, and attach description if your answer is "yes." List all involved parties.
- 4) Indicate as appropriate, and attach description if your answer is "yes". Consider both compensated and uncompensated activities in this assessment. Note also that "commitments" includes assignments of intellectual property rights. Answer this question "yes" if you have a conflict, even if you believe that the conflict is manageable or being managed. Answer this question "yes" if you are involved in a start-up company activity, even if the company is in an early stage of development.

PART II – CONFLICT OF COMMITMENT/INTEREST LISTING OF NON-UNIVERSITY INCOME PRODUCING ACTIVITIES

- Please completely disclose all non-University income producing activities during the academic year August 16 - August 15. (Those with no summer appointment do not need to report summer activities unless the activity presents a potential or actual conflict of interest.)
 - Include the nature of your activities; the company or organization for which you performed them; the amount of time spent last year; ownership interest, if any; and an estimate of the amount of time you expect to spend this year. Attach additional sheets and explanations if required.
 - Please report only the amount of time involved in each activity, not your compensation for it. Your unit head will seek this information separately if necessary.
 - It is not acceptable to report “various” when specifying for whom outside activity has been performed, as this does not provide sufficient information for evaluating possible conflicts. “Various” may be acceptable for prospective reporting if it is not known for whom work will be performed. However, prior approval must still be sought from the unit head for each activity as it arises.
- Examples of non-University income producing activities that should be reported. Others may need to be reported as well (Please see Sections III E and III F of *Policy*.)
 - Relationships with companies that do business with the University
 - Relationships with sponsors of your research
 - Service as an officer, director, or trustee in businesses or organizations related to your professional field
 - Ownership in, financial interest in, or management of organizations related to your professional field
 - Activities involving University students or staff
 - Outside research or consulting
 - Artistic performances
 - Expert witness testimony
 - Fellowships
 - Positions held at other institutions
 - Publishing contracts
 - Real estate holdings and management
 - Testing or clinical trials of products
 - Workshops, seminars, or training programs
- As a general rule (with the exceptions listed below) you should report activities from which you derive income that you are obliged to report to the IRS.
- You do not need to report the following types of activity or income, *even though* some may require reporting to the IRS.
 - Preparation of books, articles, lectures, works of art or artistic performances expected of you in the normal course of your University duties.
 - Presentations of scholarly work at other universities or at educational meetings sponsored by non-profit entities, *as long as absence from campus does not interfere significantly with your University duties.*
 - Service on government committees or review panels for university, government or professional organizations, *when service does not interfere significantly with your University duties.*
 - Prizes and royalties from past writings.

Please note: All of your activities must be considered in assessing possible conflicts of interest and commitment in Question 4, Part I, of the reporting form. If you answered “yes” to Question 4, Part I, please attach an explanation to the form.

PART III – AFFIRMATION

Your signature affirms that you have read the University *Policy on Conflicts of Commitment and Interest* and that your statements are true to the best of your knowledge. The *Policy, including sanctions*, is available online at: <http://www.research.uiuc.edu/coi/index.asp>.

When you have completed and signed the reporting form, please submit it to your unit head. Please note: The reporting form should be updated during the year if significant changes in activities occur.

ADDITIONAL INFORMATION

Is the Report of Non-University Activities form the same as the Statement of Economic Interest?

No, this form is different; the Statement of Economic Interest, after completion, is returned to Donna S. McNeely, Ethics Officer, University Ethics Office. See <http://ethics.uillinois.edu/>.

What is a Conflict of Interest?

A *conflict of interest* may take various forms but arises when an academic staff member is or may be in a position to influence University business, research, or other decisions in ways that could lead to any form of personal gain for the academic staff member or the staff member's family, or give improper advantage to others to the University's detriment.

Policy on Conflicts of Commitment and Interest

What is a Conflict of Commitment?

A *conflict of commitment* exists when the external or other activities and undertakings of an academic staff member are so substantial or demanding of the staff member's time and attention as to interfere, or appear to interfere, with the individual's responsibilities to the unit, to which the individual is assigned, or to students, or to the University.

Policy on Conflicts of Commitment and Interest

Excerpts from State Law and University Regulations

No full-time member of the faculty of any State-supported institution of higher learning may undertake, contract for or accept anything of value in return for research or consulting services for any person other than that institution on whose faculty he or she serves unless (a) he or she has the prior written approval of the President of that institution, or a designee of such President, to perform the outside research or consulting services, such request to contain an estimate of the amount of time which will be involved, and (b) he or she submits to the President of that institution or such designee, annually, a statement of the amount of actual time he or she has spent on such outside research or consulting services.

110, Illinois Compiled Statutes (ILCS) 200/1

No person employed by the University shall have any interests incompatible with that person's obligations to the University.

The University of Illinois *Statutes*, (Article IX, Section 5b)

The responsibilities to the University of full-time members of the academic staff are fulfilled by the performance, appropriate to rank and terms of appointment, of teaching, scholarly research, continuing education and public service, and committee work and special assignments. Such staff members may carry on some professional or business activities of an income producing character, so long as such activities are compatible and not in conflict with University interests. The head of the department of which the employee is a member should know and approve of these activities outside the University.

The University of Illinois *Statutes*, (Article IX, Section 5d)

Procurement contracts involving expenditures of University funds are governed by Regulations Governing Procurement and Bidding at State Systems Universities in Illinois as adopted and amended from time to time by the Board of Trustees. Other University contracts may be awarded to any business entity, including those in which a University officer or employee (or members of their immediate families) serve as major officers or primary employees thereof, or hold a significant equity interest therein, if such contract is deemed in the best interests of the University, and has the approval of the President or his designee. Documentation of such approval shall be filed with the contract.

The *General Rules Concerning University Organization and Procedure*, Article II, Section 4 (d)