



EXPLANATION OF POLICY

All salaried UIS academic staff are required to annually complete and submit the form entitled “Academic Staff Report of Non-University Activities” in order to report those activities during the previous year and to estimate those activities during the coming year. This form is to be used in conjunction with the University of Illinois *Policy on Conflicts of Commitment and Interest*. Use of this form is required in order to ensure compliance with Illinois state law and articles of the University *Statutes* and *General Rules*.

The university recognizes the legitimacy and value of non-university activities and, indeed, encourages them to the extent that they do not present conflicts of interest or create conflicts of commitment with respect to obligations to the university and the performance of university duties. This reporting procedure and the *Policy* are not intended to discourage non-university activities that do not present any such conflicts. They have been developed to attempt to ensure that no conflicts arise by informing staff of the university’s policies in these matters, guiding them as they engage in non-university activities, and enabling these activities to be monitored appropriately.

The chief purpose of the monitoring of these activities is to identify possible conflicts of interest or commitment in a timely way, either to determine that no significant or potential conflict exists, or to address any such conflict before it becomes a serious problem for the staff member and the university. It is, therefore, in the interest of all academic staff members to cooperate fully in this reporting procedure, completing the reporting form accurately and submitting reports each year.

All academic staff members are required to read the University of Illinois *Policy on Conflicts of Commitment and Interest [Policy]*. Excerpts from the *Policy* which provide an overview follow.

Persons Covered. The *Policy* “applies to all paid academic staff members, whether part time or full time, of the University of Illinois. The academic staff includes the faculty ranks of professor, associate professor, assistant professor (and all of the foregoing whose appointments contain such terms as ‘research,’ ‘adjunct,’ ‘visiting,’ or ‘clinical’) instructor, and lecturer, as well as academic professionals. . .” *Policy*, Sec. III(A).

Conflict of Commitment. “A ‘conflict of commitment’ arises when the external activities of an academic staff member are so substantial or demanding of the staff member’s time and attention as to interfere with the individual’s responsibilities to the unit to which the individual is assigned, to students, or to the University.” *Policy*, Sec. III(B)(1).

Conflict of Interest. “A ‘conflict of interest’ arises when an academic staff member is in a position to influence either directly or indirectly University business, research, or other decisions in ways that could lead to gain for the academic staff member, the staff member’s family, or others to the detriment of the University’s integrity and its missions of teaching, research, and public service.” *Policy*, Sec. III(B)(2).

Prior Approval. “Each academic staff member must obtain prior written approval to engage in non-University income-generating activities, and must also disclose such activities annually, whenever a substantial change in such activities occurs, or when required by granting agencies.” *Policy*, Overview.

Student/Staff Involvement. “The involvement of University students or employees in the external activities of the academic staff member must be disclosed and may require monitoring.” *Policy*, Overview.

The policy is administered on the UIS campus by the Provost. All forms are administratively reviewed by each academic staff member’s primary reviewer. A list of primary reviewers is posted at www.uis.edu/grants/policies/documents/PrimaryReviewers2009.pdf. Forms and checklists are forwarded on to the Division Head, who conducts a second level of review as needed. All reports and unit checklists are submitted by the Division Heads to the Office of the Provost, which will retain the forms for 5 years, or as long as the staff member is at the University, whichever is longer. Questions about this policy or procedures can be directed to Deb Koua, Office of Grants, Contracts and Research Administration, 206-7409, koua.deb@uis.edu.

INSTRUCTIONS FOR COMPLETING FORM

You complete only the front of the form; your primary reviewer will complete the back. Some information on the front of the form is pre-populated. If any of the pre-populated information is incorrect, please strike through the incorrect portions and write in the correct information.

PART I. POSSIBLE CONFLICT OF INTEREST OR COMMITMENT

All salaried academic staff members must complete Part I. For Part I questions, uncompensated and volunteer activities should be included in addition to income-producing activities. Please attach an explanatory statement for all “yes” responses

1. Please check “yes” if you teach for any other institution, even if it is during time you are not on contract with the University of Illinois. Per University policy, all outside teaching is prohibited without prior written approval of the unit executive officer
2. Check yes or no.
3. Please refer to the form’s footnotes for definitions of “family” and “significant financial relationship.”
4. If answered affirmatively, attach description listing all involved parties. Reporting is required whenever outside professional or income producing activities involve university faculty, staff, and/or students.
5. Consider both compensated and uncompensated activities in this assessment. Note also that “commitments” should be understood to include assignments of intellectual property rights.

PART II. LISTING OF NON-UNIVERSITY INCOME-PRODUCING ACTIVITIES

All salaried academic staff members employed at 75% time or more must complete Part II.

Please list 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, (if applicable), the amount of time spent during the last year, and an estimate of the amount of time you expect to spend during the coming year. Please use “days” as the unit of time. For the purposes of this report, a “day” is to be understood in the sense of a conventional “working day” or its equivalent (i.e., approximately eight hours of activity). For example, if you spend two hours on an outside activity during each of four calendar days, report “one day.” Although the reporting of a large number of “days” spent on non-university activities might raise the question of a possible conflict of commitment, this question may be easily answered through an attached statement and discussion with your primary reviewer. Attach additional sheets if necessary. Report only the amount of time involved in each activity, not the amount of compensation. Your primary reviewer will seek this information separately if necessary. Do not report “various” when specifying for whom outside activity has been performed. “Various” may be acceptable for prospective reporting if it is not known for whom work will be performed, but prior approval must still be sought from the administrative reviewer for each activity as it arises.

The following are examples of types of non-university income-producing activities to report. Other activities may need to be reported as well. As a general rule, activities from which you derive income that you are obliged to report to the IRS should be reported here.

- Relationships with companies that do business with the university
- Relationships with sponsors of your research
- Service as an officer, director, or trustee in businesses 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
- Positions held at other institutions
- Workshops, seminars, or training programs (non-UIS)
- Expert witness testimony
- Contractual agreements with publishers
- Real estate holdings and management

The following are offered as examples of external, income-generating activities that are **not** considered conflicts of interest. They are **exempt** from reporting requirements, unless they are so extensive in time and effort that they constitute a potential conflict of commitment.

- Receiving honoraria, stipends, and/or royalties for published scholarly works and other writing, creative works, lectures, and/or presentations.
- Participating at professional conferences for the purpose of making scholarly presentations, conducting seminars or workshops.
- Receiving honoraria for serving as a special reviewer or on a review panel for academic, governmental, or not-for-profit organizations.
- Participating in a clinical practice plan approved by the University of Illinois Board of Trustees.
- Receiving royalties under the University’s or another academic institution’s royalty distribution policies.
- Preparing books, articles, software and creative works relevant to University duties.
- Earning income from passive investments such as interest or dividends from banks, mutual funds, or stocks and bonds.

Please note that all of the above exempt activities must be considered when assessing possible conflict of commitment in Part I (5), insofar as they diverge from your university duties.

PART III. AFFIRMATION

Your signature affirms your familiarity and compliance with the *Policy on Conflicts of Commitment and Interest* and the completeness and accuracy of your responses. Submit the form and any attachments to your primary administrative reviewer. Please note that if significant changes in activities occur during the year, this form must be updated and resubmitted.