

ANNUAL DISCLOSURE OF PROPOSED NON-UNIVERSITY ACTIVITIES & FINANCIAL INTERESTS

Southern Illinois University Carbondale

EMPLOYEE DISCLOSURE

Name of Employee

Title/Rank

Department/Unit

College/Division

1. Briefly describe in an attachment the type of non-University employment or activity proposed (e.g. research, consulting, self-employment). Include those activities that would reasonably appear to directly affect and/or be affected by your University responsibilities (additional guidance is provided in the Policy on Conflict of Interest: Non-University Activities and Financial Interests).*
2. Estimated beginning and ending dates: _____
3. Estimated total time involved in days, or for continuing employment, days per year: _____
4. Amount of time committed to date for the year: _____
5. I ___ have/ ___ am considering a consulting relationship, managerial role, or significant (5%) financial interest in:
 ___ a company that does business with the University*
 ___ a sponsor of my research or educational activities*
 ___ a company in a field of my research or educational activities*
 ___ other*
6. The total income per year from non-University activities is: ___ \geq \$1,000 and \leq \$5,000 | ___ $>$ \$5,000.
7. I ___ do*/ ___ do not have non-University income-producing activities involving SIUC faculty/staff or students.
8. I ___ do/ ___ do not* have University approval for any product or process that may involve intellectual property covered under the SIUC Policy on Patents and Copyrights.

**Attachment with explanation is required.*

EMPLOYEE AFFIRMATION

In submitting this form, I affirm that I have read and understood the University Policy on Conflict of Interest: Non-University Activities and Financial Interests. My signature affirms my familiarity and compliance with the policy and the completeness and accuracy of my responses. I agree to comply with any conditions or restrictions imposed by the University to manage, reduce, or eliminate actual or potential conflicts of interest.

Employee Signature

Date

ADMINISTRATIVE REVIEW AND APPROVAL

1. Proposed Non-University Employment and Activities review:

	Chair	Dean
Recommend all proposed activities be approved	_____	_____
Recommend some activities be approved*	_____	_____
Recommend proposed activities not be approved*	_____	_____

2. Conflict of Interest/Commitment Review:

	Chair	Dean
No conflict of interest or commitment is apparent	_____	_____
A conflict of interest or commitment may exist but does not appear to be significant*	_____	_____
A conflict of interest or commitment exists that warrants further review*	_____	_____

**Attachment with explanation is required.*

Signature of Chair or Director

Date

Signature of Dean or Director

Date

_____ Approved
_____ Approved with conditions
_____ Not approved

Signature of Appropriate Vice Chancellor or Provost

Date

**INSTRUCTIONS FOR COMPLETING DISCLOSURE REPORT OF PROPOSED
NON-UNIVERSITY ACTIVITIES AND FINANCIAL INTERESTS**

General Statement

All full-time faculty and staff of Southern Illinois University Carbondale are required to complete and submit the form entitled "Disclosure of Proposed Non-University Activities" prior to initiating such activities. The purpose of disclosure is to identify possible conflicts of interest before such conflicts become an issue for the faculty, staff, or University. This disclosure process is guided by "Policy on Conflict of Interest: Non-University Activities and Financial Interests" (Policies of the Board of Trustees at Southern Illinois University Carbondale), which complies with Illinois state law. General principles and prohibitions associated with conflict of interest are presented in the policy and provide valuable guidance to faculty and staff completing this disclosure form. Request for copies of the policy should be directed to the Director, Office of Sponsored Projects Administration (453-4531).

The University encourages faculty and staff to participate in non-University activities that enhance the mission of

the University in areas of teaching, research, and the creation and dissemination of new knowledge. Examples of activities for which reporting is **not necessary** include:

- time spent in preparing books, articles, lectures, works of art, or artistic performances expected of faculty and staff in the normal course of university duties
- royalties from past writings
- prizes
- uncompensated and volunteer activities

Examples of activities that **are necessary** to report include:

- accreditation and program reviews
- artistic performances, sale of art work, sale of scholarly work
- honoraria
- guest lectures and workshops
- salary from any non-University entity
- stock, stock options, ownership interests
- intellectual property rights
- consulting and workshop activities

Employee Disclosure

You should complete the section entitled “Employee Disclosure” if income greater than \$1,000 is expected to be received from those non-University activities that would reasonably appear to directly affect and/or be affected by your University responsibilities. Attachments that clarify the proposed activity or more fully clarify the answer to any questions in this section are welcomed and in some cases required.

Employee Affirmation

You should sign the section entitled “Affirmation” only after reading and understanding the University “Policy on Conflict of Interest: Non-University Activities and Financial Interests.” After signing, the report is ready to submit to the department chairperson, unit head, or director for review.

Administrative Review and Approval

The review and approval process involves three levels within the administrative channel. The **first review** is the responsibility of the unit head, chairperson, or director, who should review and forward the report in a timely manner. It is the responsibility of this reviewer to pursue/clarify questions of possible conflict of interest or commitment that may be raised by this report with the faculty or staff member and to sign the document. If the total income expected to be received is \$1,000 to \$5,000 per year, the disclosure is retained in the unit. If the total income exceeds \$5,000, the report is forwarded to the next level of review. The **second-level review** is conducted by the dean or director who reviews the report. The dean or director signs and forwards the report to the appropriate vice chancellor. The **final administrative review** is conducted by the appropriate vice chancellor, who returns the disclosure report to the faculty or staff member with copies to the chair, director, and dean. Faculty or staff who disagree with the final administrative review may follow the established grievance procedure.

Investigator Significant Financial Interests Disclosure

Faculty and staff, and others submitting proposals to agencies requiring Investigator Significant Financial Interests Disclosure must also complete the Significant Financial Interests Disclosure form and submit it to the Provost Office. Updates of disclosure forms and any necessary resolution of actual or potential conflicts must be finalized prior to the time an award is made by the agency.