



## Outside Activity, Financial Interest and Potential Conflict Disclosure Matrix

AA-21 Question	Reference	Disclose	Examples	Reporting Exclusions (Do Not Disclose)
<p><b>Compensation and Equity Interest</b></p> <p><b>Question 1:</b> Do you or your <u>immediate family</u> have one or more of the following financial interests that reasonably appears to be related to your UCF <u>institutional responsibilities</u>: (1) compensation exceeding \$5,000 from an <u>entity</u>, (2) aggregate of both compensation and equity interest exceeding \$5,000 in a publicly traded <u>entity</u>, or (3) any equity interest in a privately owned <u>entity</u>.</p> <p>(Applies only to employees engaged in sponsored research or research involving human subjects or animals at UCF)</p>	<ul style="list-style-type: none"> <li>• DHHS CFR Part 50</li> <li>• 45 CFR Part 94 Final Rule</li> <li>• 21 CFR, Chapter 1, Subchapter A</li> <li>• 54.1-6 NSF Guide Chapter IV</li> </ul>	<ul style="list-style-type: none"> <li>• You or your immediate family's:               <ul style="list-style-type: none"> <li>• Compensation &gt;\$5,000 from an entity,</li> <li>• Compensation and equity interest &gt;\$5,000 in public entity, or</li> <li>• Equity interest in a private entity, that reasonably appears to be related to your UCF institutional responsibilities</li> </ul> </li> <li>• New employees should report compensation and/or equity interests received in the last 12 months and during the current reporting period</li> </ul>	<ul style="list-style-type: none"> <li>• Your spouse owns a startup company that will sponsor your UCF research</li> <li>• You have equity in a company that has an interest in the results of your research or IP for commercial purposes</li> <li>• You are a private consultant in the same field as your UCF assignment</li> </ul>	<ul style="list-style-type: none"> <li>• Salary, royalties, intellectual property rights, or other compensation paid by UCF and/or the UCF Research Foundation (UCFRF)</li> <li>• Income from investment vehicles, such as mutual funds and retirement account contributions made by UCF on your behalf</li> <li>• Income from seminars, lectures, or teaching engagements, and service on advisory or review panels sponsored by a government agency, institution of higher education, academic teaching hospital, medical center, or research institute affiliated with an institution of higher education originating in the United States</li> </ul>



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<p><b>Reimbursed Travel</b></p> <p><b>Question 2:</b> Will you receive paid or reimbursed travel from an outside <u>entity</u> that exceeds \$5,000 (when aggregated per outside entity) that could reasonably appear to be related to your <u>institutional responsibilities</u> (e.g. the purpose of the travel relies upon the same expertise used to carry out your <u>institutional responsibilities</u>)?</p> <p>(Applies only to employees engaged in sponsored research or research involving human subjects or animals at UCF)</p>	<ul style="list-style-type: none"> <li>• DHHS CFR Part 50</li> <li>• 45 CFR Part 94 Final Rule</li> <li>• 21 CFR, Chapter 1, Subchapter A</li> <li>• 54.1-6 NSF Guide Chapter IV</li> </ul>	<ul style="list-style-type: none"> <li>• Reimbursed travel or travel &gt; \$5,000 paid on your behalf that is related to your institutional responsibilities</li> </ul>	<ul style="list-style-type: none"> <li>• A company pays your transportation expenses associated with an external consulting agreement in your field of study</li> <li>• A vendor reimbursed travel expenses for your participation as a subject matter expert at their conference</li> </ul>	<ul style="list-style-type: none"> <li>• Travel reimbursed to you under a sponsored project (i.e. paid by a research sponsor through UCF)</li> <li>• Travel paid by a government agency, institution of higher education, academic teaching hospital, medical center, or research institute affiliated with an institution of higher education originating in the United States</li> </ul>
<p><b>Intellectual Property Rights</b></p> <p><b>Question 3:</b> Will you or your <u>immediate family</u> receive income related to non-UCF intellectual property rights (e.g., patents, copyrights, trademarks), that when aggregated exceeds \$5,000?</p> <p>(Applies only to employees engaged in sponsored research or research involving human subjects or animals at UCF)</p>	<ul style="list-style-type: none"> <li>• DHHS CFR Part 50</li> <li>• 45 CFR Part 94 Final Rule</li> <li>• 21 CFR, Chapter 1, Subchapter A</li> <li>• 54.1-6 NSF Guide Chapter IV</li> </ul>	<ul style="list-style-type: none"> <li>• Income &gt;\$5,00 related to non-UCF IP received by you or your immediate family</li> <li>• If not previously reported, disclose income exceeding \$5,000 over the past 12 months</li> </ul>	<ul style="list-style-type: none"> <li>• You receive royalties from an IP license agreement for technology invented prior to UCF employment</li> </ul>	<ul style="list-style-type: none"> <li>• Royalties paid to you through UCF and/or the UCFRF</li> <li>• Compensation paid through UCF and/or UCFRF for:               <ul style="list-style-type: none"> <li>• IP rights assigned to UCF related to your IP</li> <li>• the value of royalty sharing agreements between you and UCF related to your IP</li> </ul> </li> </ul>



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<p><b>Use of UCF Students and Employees</b></p> <p><b>Question 4:</b> Do you or an <u>immediate family</u> member intend to use the services of UCF students or personnel for whom you have supervisory or evaluative responsibilities at UCF to carry out an <u>outside activity</u>?</p>	<ul style="list-style-type: none"> <li>Florida Statute 112.313(6)</li> </ul>	<ul style="list-style-type: none"> <li>Use of students or employees for whom you have a supervisory or evaluative responsibility at UCF to carry out your outside activity</li> </ul>	<ul style="list-style-type: none"> <li>Your privately owned company intends to hire a student you teach at UCF</li> <li>Asking employees that you supervise to provide administrative support for a compensated outside activity</li> </ul>	<ul style="list-style-type: none"> <li>Employees for which you have no supervisory or evaluative responsibility in your UCF position</li> <li>Participation by a student or employee in an uncompensated activity that counts towards a service-assignment</li> </ul>
<p><b>Use of UCF Resources</b></p> <p><b>Question 5:</b> Do you intend to use UCF resources (e.g., equipment, facilities, supplies) or services (including information technology resources) in carrying out any <u>outside activity</u>?</p>	<ul style="list-style-type: none"> <li>Florida Statute 112.313(6)</li> </ul>	<ul style="list-style-type: none"> <li>Use of any UCF resource to carry out an outside activity</li> </ul>	<ul style="list-style-type: none"> <li>Using UCF space and technology to host a conference for an outside company</li> <li>Using your computer and office supplies to perform consulting work</li> <li>Your privately owned company (or company employee) will utilize shared research facilities as an external customer</li> </ul>	<ul style="list-style-type: none"> <li>Use of resources that supports a service-assignment for which you receive no compensation and does not incur an additional cost to UCF</li> </ul>
<p><b>Political Activities</b></p> <p><b>Question 6:</b> Will you hold or do you expect to run for political office?</p>	<ul style="list-style-type: none"> <li>Florida Statute 104.31</li> </ul>	<ul style="list-style-type: none"> <li>If you hold a political office or plan to run for one</li> </ul>	<ul style="list-style-type: none"> <li>Petition filed to have your name added to a ballot for a political office such as mayor</li> </ul>	<ul style="list-style-type: none"> <li>Non-government office</li> <li>Specific information about your political views or political party</li> </ul>



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<p><b>Outside Teaching</b></p> <p><b>Question 7:</b> Do you intend to engage in any teaching activity external to UCF (e.g., courses, workshops, lectures, training)?</p>	<ul style="list-style-type: none"> <li>• Florida Statute 112.313(7)</li> </ul>	<ul style="list-style-type: none"> <li>• All compensated outside teaching</li> <li>• Uncompensated teaching that does not count as a service-assignment and occurs during your regularly scheduled UCF commitments</li> </ul>	<ul style="list-style-type: none"> <li>• Receiving compensation to deliver a workshop at a local hospital</li> </ul>	<ul style="list-style-type: none"> <li>• Presentations, workshops, or other speaking engagements delivered on behalf of UCF</li> <li>• Uncompensated teaching that is considered a service-assignment</li> <li>• UCF teaching that is not part of your assigned duties (should be reported in Q10)</li> </ul>
<p><b>Works Used in Classroom</b></p> <p><b>Question 8:</b> Do you require students to purchase works used in your classroom that you or your <u>immediate family</u> authored or co-authored (e.g., textbook(s), computer software, electronic or digital media) and for which you will receive, or anticipate receiving payment, loan, subscription, advance, deposit of money, service, or anything of value? Or, does your spouse require students to purchase works used in their classroom that you authored or co-authored?</p>	<ul style="list-style-type: none"> <li>• Florida Statute 1004.085</li> </ul>	<ul style="list-style-type: none"> <li>• When requiring students to purchase works used in your classroom that you or your immediate family authored or co-authored and for which you will receive anything of value</li> </ul>	<ul style="list-style-type: none"> <li>• A textbook you authored is required for your history course. Your publishing agreement entitles you to receive 1% of the sale each time the book is purchased.</li> <li>• Your course requires students to purchase digital media from your spouse's company website</li> </ul>	<ul style="list-style-type: none"> <li>• Student purchased works used in classes you or your immediate family members do not teach at UCF</li> </ul>



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<p><b>Doing Business with UCF and Conflicting Employment</b></p> <p><b>Question 9:</b> Do you, your spouse or child serve as an officer, partner, director, proprietor, have ownership of more than 5% total assets or capital stock, or hold an employment or contractual relationship with an <u>entity</u> or agency that will</p> <p>(1) sell goods/services to UCF,            (2) purchase goods/services from UCF, or            (3) enter into a research contract or technology transfer agreement with UCF?</p>	<ul style="list-style-type: none"> <li>• Florida Statute 112.313(3)</li> <li>• Florida Statute 112.313(7)</li> </ul>	<ul style="list-style-type: none"> <li>• Your spouse or child serve as an officer, partner, director, proprietor, have ownership in, or hold an employment or contractual relationship with an entity or agency that will:               <ul style="list-style-type: none"> <li>(1) sell goods/services to UCF, (2) purchase goods/services from UCF, or (3) enter into a research contract or technology transfer agreement with UCF</li> </ul> </li> <li>• Report proposed sponsored funding (SBIR/STTR) or license agreements with the entity</li> </ul>	<ul style="list-style-type: none"> <li>• You, your spouse, or child own a company that will sponsor UCF research or license IP</li> <li>• You have a part time position at an entity that contracts with UCF or funds UCF research</li> <li>• Employment with a Florida state agency that sponsors your UCF research</li> </ul>	<ul style="list-style-type: none"> <li>• Contractual or employment relationships with the U.S. government</li> </ul>



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<p><b>Outside Activities</b></p> <p><b>Question 10:</b> Will you perform an <u>outside activity</u> in excess of your UCF responsibilities (e.g., serving as a consultant or contractor, board member, expert witness, company officer, etc.) that you have not already reported in Q1 or Q9?</p>	<ul style="list-style-type: none"> <li>Florida Statute 112.313(7)</li> </ul>	<ul style="list-style-type: none"> <li>Compensated activities (includes honoraria) for any service you provide to an entity other than UCF</li> <li>Uncompensated activities that do not count as a service-assignment and occur during your regularly scheduled UCF commitments</li> <li>When representing someone in a legal capacity, even if not compensated</li> </ul>	<ul style="list-style-type: none"> <li>You have paid outside employment or receive an honorarium for services such as serving as a consultant, contractor, company officer, expert witness, etc.</li> <li>You serve on a board that does not count as service and for which meetings regularly occur during your teaching or office hours</li> <li>You have a law practice outside of UCF and take on pro bono cases</li> </ul>	<ul style="list-style-type: none"> <li>Personal volunteer activities such as coaching your child's little league team, volunteering at a place of worship or soup kitchen, etc. that occur outside your regularly scheduled UCF commitments</li> <li>Speaking at academic conferences while representing UCF (unless an honorarium is received)</li> <li>Serving on UCF formed committees or advisory groups</li> <li>Uncompensated activities (other than legal representation) that count as a service-assignment</li> </ul>
<p><b>Employment of Relatives</b></p> <p><b>Question 11:</b> Are any of your <u>relatives</u> employed by, or plan to work for UCF?</p>	<ul style="list-style-type: none"> <li>UCF 3-008 Employment of Relatives</li> </ul>	<ul style="list-style-type: none"> <li>Relatives working for UCF or planning to work for UCF</li> </ul>	<ul style="list-style-type: none"> <li>You plan to marry or form an intimate relationship with a current UCF employee</li> <li>Your father-in-law recently accepted a faculty position</li> </ul>	<ul style="list-style-type: none"> <li>Cousins second, third, or fourth removed working for UCF</li> <li>Relatives from a previous relationship that was dissolved</li> </ul>



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<p><b>Activities with a Foreign Entity</b></p> <p><b>Question 12:</b></p> <p>(a) Do you engage in a compensated <u>outside activity(ies)</u> with a <u>foreign entity</u> that relates to your <u>UCF area of expertise</u>?</p> <p>(b) Do you engage in an uncompensated <u>outside activity(ies)</u> with a <u>foreign entity</u> that relates to your <u>UCF area of expertise</u>?</p> <p>(c) Do you participate in a <u>foreign government talent or recruitment program</u>?</p> <p>(d) Do you have a <u>financial interest</u> with a <u>foreign entity</u> that has not already been disclosed in 12(a)-(c)?</p> <p><b>(Applies only to employees engaged in research at UCF)</b></p>	<ul style="list-style-type: none"> <li>• Florida Statute 1012.977</li> <li>• DOD-3/20/19 Memorandum - Actions for the Protection of Intellectual Property, Controlled Information, Key Personnel and Critical Technologies</li> <li>• DOD- Sec. 1286 of the FY19 National Defense Authorization Act Initiative</li> <li>• DOE-Order DOE 0-486.1</li> <li>• DOE-Order DOE O 142.3A Change 2</li> <li>• NASA-Grant Information Circular 12-01A</li> <li>• NIH- NOT-OD-19-114</li> </ul>	<ul style="list-style-type: none"> <li>• Engage in outside activities with a <u>foreign entity</u> that relate to your <u>UCF area of expertise</u> (Note: this includes activities conducted in the U.S. or outside the U.S.):             <ul style="list-style-type: none"> <li>• Agreement (verbal or written) to engage in collaborations (i.e. an agreement to publish an article or perform research tasks)</li> <li>• Community talks</li> <li>• Consultation with schools for programing</li> <li>• Developing and putting on workshops</li> <li>• Engaging in research</li> <li>• Honorary appointments</li> <li>• Organizing public lectures</li> <li>• Partnerships with agencies - volunteer</li> <li>• Presentations/Talks</li> <li>• Academic Program reviews for universities</li> <li>• Serving as a consultant</li> <li>• Serving as an officer</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• You receive paid travel from a non-U.S. university</li> <li>• You provide services to a foreign entity and are compensated for those services</li> <li>• You are engaged in a foreign government talent program</li> </ul>	<ul style="list-style-type: none"> <li>• Investments made through the publicly traded stock markets or investment firms</li> <li>• Residences outside of the U.S.</li> <li>• Indirect <u>financial interests</u> (i.e. your spouses or parents' financial interests)</li> <li>• Except for the personal inheritances and/or gifts identified in the "Disclose" column, do not disclose personal inheritances or gifts from family</li> <li>• Charitable donations that are unrelated to your area of expertise</li> <li>• Activities with entities incorporated in the U.S.</li> <li>• Activities that are conducted solely with other UCF faculty, staff, and/or students (this exclusion does not apply if the outside activity involves a UCF faculty, staff, and/or students' foreign company).</li> <li>• Activities funded by UCF</li> <li>• Activities through UCF (ex: An approved UCF travel acquisition request)</li> <li>• Presentations at U.S. government organized conferences</li> <li>• Contractual agreements through UCF</li> <li>• Discussions with potential collaborators</li> <li>• The following service-related activities:             <ul style="list-style-type: none"> <li>• Accreditation reviews</li> <li>• Adjudication (for performing arts)</li> </ul> </li> </ul>





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	<ul style="list-style-type: none"><li>• NIH-8/20/18 Statement - Protecting the Integrity of U.S. Biomedical Research</li><li>• NSF- Proposal &amp; Award Policies and Procedures Guide (Revised Current and Pending Support &amp; Biographical Sketch language)</li></ul>	<ul style="list-style-type: none"><li>• Serving as the chair/organizer/presenter for a conference session or program committee</li><li>• Serving on boards or commissions</li><li>• Serving on committees</li><li>• Visiting scholar</li><li>• Affiliation with a foreign government talent program</li><li>• Ownership or financial interest in a non-U.S. business</li><li>• Receipt of salary, gratuity, or other compensation (includes gifts, donations and compensated travel) or remuneration from a <u>foreign entity</u></li><li>• Personal inheritances or gifts from family that include an ownership or financial interest in a non-U.S. business or that relate to your UCF area of expertise (see above)</li></ul>		<ul style="list-style-type: none"><li>• Book reviews- paid and credit to use to purchase books from the publisher</li><li>• Editing a journal/ also guest editing (one issue)</li><li>• Editor of book (service in some disciplines research in others)</li><li>• Editorial boards where the only activity is book, grant, and/or journal reviews</li><li>• Grant reviews- federal, foundations</li><li>• Journal reviews</li><li>• Promotion and/tenure reviews for other universities</li><li>• Working with an international publishing company to publish a book/journal article</li><li>• Serving as an expert witness in your area of expertise</li></ul>
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