

# REPORT OF NON-UNIVERSITY ACTIVITIES (RNUA) DISCLOSURE AND REQUEST FOR PRIOR APPROVAL

## COMPLETING THE FORM

(Full resources are available under the RNUA section of <http://www.research.uic.edu/conflict>)

### EXPLANATION

The report of non-university activities form is the university's implementation of state law and university regulations requiring all academic staff including faculty, academic professionals and postdoctoral associates to report and obtain approval for their non-university income producing activities each year. The university *Policy on Conflicts of Commitment and Interest*, including sanctions, is available under the policy link at [www.research.uic.edu/conflict](http://www.research.uic.edu/conflict).

The reporting and approval process should not discourage outside activities, but rather assist you in arranging activities to be compatible with your university employment. Because outside professional activities 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:

- ❑ Faculty and academic staff members must obtain prior written approval for outside activities from the unit executive officer. If your activities change during the year, please complete a new form and request prior approval from the executive officer.
- ❑ University policy permits academic professionals to perform outside activity if the unit head approves the activity according to campus guidelines.
- ❑ Personal activities (those unrelated to professional skills) are generally not the university's concern, unless they impinge upon service to the university.

According to university policy:

- ❑ *A conflict of commitment* exists when the external activities of an academic staff member are so substantial or demanding of a 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.
- ❑ *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 mission of teaching, research, and public service."

### QUESTIONS?

Contact the conflict of interest officer at [coi@uic.edu](mailto:coi@uic.edu) or (312) 996-4070, or consult the frequently asked questions available under the RNUA section of [www.research.uic.edu/conflict](http://www.research.uic.edu/conflict).

## GETTING STARTED

- ❑ Faculty, academic staff and postdoctoral associates must download, complete, and sign the report of non-university activities form available under the RNUA section of [www.research.uic.edu/conflict](http://www.research.uic.edu/conflict). You will turn in a hard copy of the completed form.
- ❑ These steps refer to page 1 of the RNUA form. *Employees do not complete page 2.*

<b>Step 1:</b>	Insert your last name.
<b>Step 2:</b>	Insert your first name.
<b>Step 3:</b>	Insert your university title or rank (e.g. Assistant Professor)
<b>Step 4:</b>	Insert the name of the college to which your department/unit belongs.
<b>Step 5:</b>	Insert the name of your department/unit.
<b>Step 6:</b>	Insert your percent appointment.
<b>Step 7:</b>	Check the appropriate box that indicates your university contract period.

## PART I: CONFLICT OF INTEREST SCREENING

- ❑ Consider all of your external activities for the conflict of interest screening questions, even those that occur during the summer, even if you have a 9- or 10-month appointment.
- ❑ Answer “yes” if you have a real or potential conflict, even if you believe that the conflict is manageable or being managed.
- ❑ Attach explanations for each “yes” response. *The lists provided in Part II do not suffice as explanations.*

<b>Step 8:</b> <i>Question 1</i>	Read question 1 and check “yes” or “no” as appropriate. If you check “yes,” attach a statement explaining your response.
<b>Step 9:</b> <i>Question 2</i>	Read question 2 and check “yes” or “no” as appropriate. If you check “yes,” attach a statement explaining your response. <ul style="list-style-type: none"> <li>• Answer “yes” if you are involved in a start-up company activity, even if the company is in an early stage of development.</li> <li>• A “family member” is defined by the policy as one’s spouse or child.</li> </ul> <p>In connection with federally funded research, 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 State Purchasing Act considers an ownership interest of 7½% or greater in a company to be a significant conflict in purchasing decisions; a lesser interest may present a real or apparent conflict for other kinds of decisions. If you have questions about whether an interest is “significant,” discuss them with your unit head or call the conflict of interest officer at 996-4070.</p>
<b>Step 10:</b> <i>Question 3</i>	Read question 3 and check “yes” or “no” as appropriate. If you check “yes,” attach a statement explaining your response. Statements should include the names of the involved parties.
<b>Step 11:</b> <i>Question 4</i>	Read question 4 and check “yes” or “no” as appropriate. If you check “yes,” attach a statement explaining your response. <ul style="list-style-type: none"> <li>• Consider both compensated and uncompensated activities.</li> <li>• This includes assignments of intellectual property rights.</li> </ul>

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

- ❑ Please list all of your non-university income-producing activities during the contract period August 16 - August 15. *The contract period includes evenings, weekends and holidays during the term of employment.*
- ❑ If you have a 9- or 10-month appointment, you need only report your outside activities during that 9- or 10-month period, unless the activity presents a potential or actual conflict of interest. That is, you must consider potential conflicts of interest all year long, but conflict of commitment is not a concern outside of the contract period.
- ❑ Report all non-university activities and attach additional sheets if necessary. At the end of this document you will find examples of activities which need to be reported and those which do not need to be reported.
- ❑ Each of the following steps refers to the table on Part II of the RNUA form (see below). *The table does not suffice as an explanation for yes” responses in Part I.*

### List of non-university income-producing activities, RNUA Part II

Nature of your activities (see instructions for examples)	For whom (e.g., company/organization)	Do you have an ownership interest in this company/organization? (If so, please explain in an attached statement.)	2008-2009 Aug.16 - Aug.15 <b>Retrospective</b> Days Spent During this Reporting Period	2009-2010 Aug.16 - Aug.15 <b>Prospective</b> Days to be Spent in Current Reporting Period
<i>Step 13</i>	<i>Step 14</i>	<i>Step 15</i>	<i>Step 16</i>	<i>Step 17</i>

(Step 12)  **I HAVE NO ACTIVITIES THAT I AM REQUIRED TO REPORT**

<b>Step 12:</b> <i>No activities to report</i>	<p>If you have no activities that you are required to report, <i>or</i> if your university appointment is less than 75%, check the box that says “I have no activities that I am required to report” and go to Step 18.</p> <ul style="list-style-type: none"> <li>• You must still complete Part I of the form (Steps 8-11) even if you check this box.</li> </ul>
<b>Step 13:</b> <i>Nature of your activities</i>	List your activities. At the end of this document you will find examples of activities which need to be reported and those which do not need to be reported.
<b>Step 14:</b> <i>For whom</i>	<p>Include the names of all companies or organizations for which you performed non-university activities during the prior contract year, and those for which you may perform non-university activities during the current contract year.</p> <ul style="list-style-type: none"> <li>• <i>Do not report “various” when listing companies for which you are reporting <u>retrospective</u> activity.</i> Because retrospective activity has been completed, you must list the specific companies.</li> <li>• “Various” may be acceptable for <u>prospective</u> reporting if you are unsure for whom work will be performed. Prior approval must be sought from the unit head for each additional activity as it arises.</li> </ul>

<b>Step 15:</b> <i>Do you have an ownership interest in this company /organization?</i>	Indicate “yes” or “no.” If you indicated “yes,” attach a statement explaining your ownership interest.
<b>Step 16:</b> <i>Number of Retrospective Days</i>	List the number of days spent on non-university activities during the prior contract period. <ul style="list-style-type: none"> <li>• <i>Do not write “various” when reporting <u>retrospective</u> activity. Because retrospective activity has been completed, you must report specific numbers of days spent on the activity.</i></li> <li>• <i>For the purposes of this report, a “day” means any eight hour period, regardless of time of day or day of week. For example, if you spend two hours on an outside activity during each of four calendar days, even if at night or on weekends, report “one day.”</i></li> <li>• <i>Report only the number of days involved in each activity, not your compensation. Your unit head may request additional information.</i></li> </ul>
<b>Step 17:</b> <i>Number of Prospective Days</i>	List the number of days to be spent on non-university activities during the current contract period. <ul style="list-style-type: none"> <li>• <i>You may present a range of days when reporting potential <u>prospective</u> activities (e.g., 10-15) if the specific number is uncertain. You must obtain prior approval before you exceed this range.</i></li> <li>• <i>For the purposes of this report, a “day” means any eight hour period, regardless of time of day or day of week.</i></li> <li>• <i>Report only the number of days involved in each activity, not your compensation. Your unit head may request additional information.</i></li> </ul>

### **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.

<b>Step 18:</b>	Read the affirmation statement. <i>If significant changes in activities occur during the year, the form must be updated and submitted to your unit head for review and prior approval.</i>
<b>Step 19:</b>	Sign in the space designated for the academic staff member’s signature.
<b>Step 20:</b>	Insert the date that you completed the form.
<b>Step 21:</b>	Submit your RNUA by the deadline to your unit head for first level of review. Employees complete only Page 1 of the form; Page 2 is completed by the unit head.