

UFOLIO – 11 Questions Help Text

1. **Do you or your spouse, child or relative have a management position (e.g., officer, director, partner, proprietor), or a material financial interest (more than 5% ownership interest) in an outside entity that enters into agreements or contracts with UF (e.g., service agreements, leases, sales agreements) or does business with UF in any capacity?**
 - a. Under the Florida Code of Ethics for Public Officers and Employees, a conflict of interest could exist if you or your spouse, child or relative has a management position or material financial interest in an outside entity that does business with UF. Answering “yes” to this question does not necessarily mean you have an impermissible conflict of interest. However, your answer will help us determine if an analysis is warranted under applicable laws and guidelines which restrict UF employees from having certain types of relationships with outside entities that do business with UF.
 - b. Answer “yes” if you or your spouse, child or relative has a management position or material financial interest in an outside entity that enters into agreements or contracts (e.g., service agreements, leases, sales agreements) with UF, licenses UF technology, sponsors UF research, or does business with UF in any capacity.
 - c. Note: “Relative” means an individual who is related to a public officer or employee as father, mother, son, daughter, brother, sister, uncle, aunt, first cousin, nephew, niece, husband, wife, father-in-law, mother-in-law, son-in-law, daughter-in-law, brother-in-law, sister-in-law, stepfather, stepmother, stepson, stepdaughter, stepbrother, stepsister, half-brother, half-sister, grandparent, great grandparent, grandchild, great grandchild, step grandparent, step great grandparent, step grandchild, step great grandchild, person who is engaged to be married to the public officer or employee or who otherwise holds himself or herself out as or is generally known as the person whom the public officer or employee intends to marry or with whom the public officer or employee intends to form a household, or any other natural person having the same legal residence as the public officer or employee.

2. Do you or your spouse or dependent child have a financial interest of \$5,000 or more in a publicly traded entity where the financial interest reasonably appears to be related to your institutional responsibilities? “Financial interest” consists of the aggregate value of any remuneration received from the entity and any equity/ownership interest (including stock, stock option, or other ownership interest) in the entity as of the date of disclosure. [Note: Remuneration includes any payment or compensation for services received from the entity in the twelve months preceding the disclosure. Do not include income or any equity/ownership interest from independently managed investment vehicles like mutual funds or retirement accounts.]

- a. Under the Florida Code of Ethics for Public Officers and Employees, a financial interest in a publicly traded entity which reasonably appears to be related to your institutional responsibilities creates a basis for a possible conflict of interest. In addition, federal law governing U.S. Public Health Service (PHS) grants and contracts requires disclosure of any “Significant Financial Interest” that would reasonably appear to be related to the Investigator’s institutional responsibilities. Generally, an “Institutional Responsibility” is defined as teaching/education, research, outreach, clinical service, training, or public service done on behalf of UF and directly related to the credentials, expertise and achievements upon which your UF position is based. This question helps us determine whether your financial interest in a publicly traded entity requires further analysis under applicable laws and guidelines governing the conduct of public officers and federally funded researchers.
- b. Answer “yes” if you or your spouse or dependent child has a financial interest of \$5,000 or more in a publicly traded entity where the financial interest appears reasonably related to your UF responsibilities in any capacity. Examples include conducting UF laboratory research while receiving payments for advising a publicly traded laboratory supply company; managing a UF horticultural program while holding stock in an agrochemical or agricultural biotechnology company; a physician consulting for a publicly traded pharmaceutical company, etc.

3. Do you or your spouse or dependent child receive remuneration of \$5,000 or more from or have ANY equity/ownership interest (including stock, stock option, or other ownership interest) in a non-publicly traded entity where the financial interest reasonably appears to be related to your institutional responsibilities? [Note: Remuneration includes any income or payment for services received from the entity in the twelve months preceding the disclosure.]

- a. Under the Florida Code of Ethics for Public Officers and Employees, a financial interest in a privately held entity which reasonably appears to be related to your institutional responsibilities creates a basis for a possible conflict of interest. In addition, federal law governing U.S. Public Health Service (PHS) grants and contracts requires disclosure of any “Significant Financial Interest” that would reasonably appear to be related to the Investigator’s institutional responsibilities. Generally, an “Institutional Responsibility” is defined as teaching/education, research, outreach, clinical service, training, or public service done on behalf of UF and directly related to the credentials, expertise and achievements upon which your UF position is based. This question helps us determine whether your financial interest in a publicly traded entity requires further analysis under applicable laws and guidelines governing the conduct of public officers and federally funded researchers.
- b. Answer “yes” if you or your spouse or dependent child receives annual remuneration exceeding \$5,000 or has ANY equity interest in a privately held entity where such financial interest appears reasonably related to your UF responsibilities in any capacity. Examples include conducting UF laboratory research while holding an ownership interest in a privately held laboratory supply company; a physician receiving annual payment in excess of \$5,000 from a start-up pharmaceutical company; owning an interest in a privately held company that licenses technology related to your work, etc.

4. Are you a candidate for public office or do you hold public office?

- a. The Florida Code of Ethics for Public Officers and Employees establishes ethical standards for candidates and elected officials in various employment scenarios where conflicts of interest might arise. Generally speaking, candidates for public office and elected officials are prohibited from accepting dual public employment (with the state of Florida or any of its political subdivisions) unless certain conditions and safeguards are met. This question helps us determine if an analysis is warranted under applicable Florida laws governing dual public employees and conflicting employment scenarios for candidates and elected officials.

- b. Answer “yes” if you are an elected official or are seeking candidacy for any political office, including local, state, or federal offices (e.g., Mayor, City Council, state or U.S. Congress, etc.).

- 5. Do you have or are you seeking approval to hold a teaching appointment with any entity other than UF?**
- a. Holding a teaching appointment with an entity other than UF creates a basis for a possible conflict of interest. Outside teaching appointments may represent time or loyalty conflicts which could interfere with your UF duties and responsibilities. Your answer to this question will help us determine if a conflict of interest analysis is warranted concerning your outside teaching appointment.
 - b. Answer “yes” if you have or are seeking a teaching appointment at any institution other than UF. Teaching appointments include serving as a faculty, adjunct faculty, instructor, lecturer, clinical professor, research professor, visiting professor, courtesy professor, etc.

6. Do you conduct or are you seeking approval to conduct any research at, or receive any research funding from or through, any entity other than UF? [Note: Research conducted at outside entities as part of a UF sponsored project or research funding received by UF does not need to be disclosed.]

- a. Conducting research with an outside entity creates a basis for a possible conflict of interest. Outside research activities may represent time or loyalty conflicts, compromise sensitive UF research data, adversely impact UF interests or otherwise interfere with your UF duties and responsibilities. Your answer to this question helps us determine if a conflict of interest analysis is warranted concerning your outside research activity, and whether your outside research activity could be coordinated through UF.
- b. Answer “yes” if you perform any research activities not coordinated by or through UF. Examples include having a research appointment at another institution; conducting R&D for a company in your private capacity; engaging in any research activity whatsoever with an outside entity that is to be done completely outside of UF’s purview (e.g., no contract with or research funds procured by UF), etc.

7. Do you require or are you seeking approval to require students to purchase works used in your classroom you or your spouse created, authored or co-authored (e.g., textbook(s), computer software, electronic or digital media) and for which you or your spouse will receive, or anticipate receiving payment, loan, subscription, advance, deposit of money, service, or anything of value?
- a. Faculty and instructors are commonly involved in authoring textbooks and other instructional materials and may financially benefit from such materials when assigned for use by their students as part of a UF course or program. UF must take precautions to ensure that instructional materials assigned to students are appropriately assigned for academic reasons independent of financial benefit. This question helps determine if an analysis is warranted to confirm whether certain requirements have been met regarding works assigned to students from which you may profit.
 - b. Answer “yes” if you or your spouse has a financial interest in any instructional material or resource that you assign to students as part of a UF course or program. For example, authoring or co-authoring a book from which you receive copyright income and which you require your students to purchase for a UF course you teach.

- 8. Do you receive royalties, licensing fees or any income of \$5,000 or more from intellectual property rights and interests (e.g., patents, copyrights) related to your UF expertise from any entity other than UF?**
- a. A faculty member's institutional responsibilities should not be adversely impacted by outside activities and financial interests. Most, if not all, UF employees have personal, business, and professional loyalties which may be in conflict. However, certain conflicts represent such a serious potential for breach of one's duties that they must either be permitted with conditions (including review and oversight) or prohibited. In addition, federal laws governing U.S. Public Health Service (PHS) grants and contracts require disclosure of any "Significant Financial Interest" that would reasonably appear to be related to the Investigator's institutional responsibilities. This question helps us determine whether the intellectual property income you receive from outside entities requires further analysis under applicable laws and guidelines governing the conduct of public officers and federally funded researchers.
 - b. Answer "yes" if you receive royalties, licensing fees or any income related to intellectual property rights and interests (e.g. patents, copyrights) from an entity other than UF. Examples include collecting royalties from a product you invented or licensing fees for technology you developed at an outside company or institution.

- 9. Do you serve or are you seeking approval to serve as an expert witness or engage in consulting in a legal matter such as a lawsuit or a potential lawsuit?**
- a. Serving as an expert witness or consultant in a legal matter is an outside activity which must be reported and approved. Providing expert testimony or serving as a legal consultant in administrative, legislative, or judicial proceedings, with or without compensation, may compromise sensitive UF research data or otherwise adversely impact UF interests. Your answer to this question helps us determine if an analysis is warranted to establish whether your activity as an expert witness or legal consultant represents an impermissible conflict.
 - b. Answer “yes” if you are or seek to serve as an expert witness or legal consultant in any legal matter whatsoever. Examples include working for a law firm or company to provide advice or professional opinions regarding a legal matter about which you have knowledge or expertise; serving as an expert witness in an ongoing legal proceeding before a court, administrative body, or legal tribunal.

10. Do you provide or are you seeking approval to provide paid or unpaid professional services related to your UF expertise to an outside entity?

- a. UF recognizes that its employees are engaged in outside activities that further the dissemination of knowledge and expertise developed at UF and may also advance the professional competence and reputation of UF faculty and staff. Thus, participation in outside activities may often serve UF's mission in addition to benefiting individual UF employees. However, outside activities are of concern to UF if they create a basis for a conflict of interest or otherwise interfere with a UF employee's duties and responsibilities. For example, providing professional services to outside entities could represent competition with UF, conflict with UF's policy regarding intellectual property, involve UF students or the use of UF resources, or otherwise be averse to UF interests

- b. Answering "yes" to this question does not necessarily mean your professional involvement with an outside entity represents an impermissible conflict of interest. However, your answer helps us determine whether an analysis is warranted under applicable laws and guidelines which restrict UF employees from having certain types of relationships with outside entities. Answer "yes" if you provide ANY paid or unpaid professional services related to your UF expertise to an outside entity. For example, a health science faculty on the advisory board for a pharmaceutical company; a law professor serving as an outside legal consultant; a chemistry professor working for a laboratory supply company.

11. Do you have a paid or unpaid senior management, administrative, or leadership role related to your UF expertise with an outside entity where you make executive business or financial decisions on behalf of the outside entity?

- a. Assuming an executive or managerial role with an outside entity where your leadership duties relate to your UF expertise creates a basis for a possible conflict of interest under the Florida Code of Ethics for Public Officers and Employees. Such a role might include professional or fiduciary obligations which could potentially conflict with your institutional duties and responsibilities at UF. Particularly when a senior leadership role at an outside entity relates to your UF expertise, there is a greater likelihood that at some point you may be placed in a position where you could not reasonably and faithfully serve the best interests of both UF and the outside entity (for example, the entity may compete with UF services/programs).
- b. Answering “yes” to this question does not necessarily mean your professional involvement with an outside entity represents an impermissible conflict of interest. However, your answer helps us determine whether an analysis is warranted under applicable laws and guidelines which restrict UF employees from having certain types of relationships with outside entities. Answer “yes” if you have a paid or unpaid leadership position related to your UF expertise where you make executive or financial decisions on behalf of an outside entity. Examples include serving on the board of directors or in a senior leadership position (e.g., CEO, COO, etc.) for an entity in a role that relates to your UF expertise.