**Appendix B: Prior Approval of Outside Employment**

**University of Arkansas**

This form implements the University of Arkansas Board of Trustees Policies on outside employment ([450.1](https://www.uasys.edu/wp-content/uploads/sites/16/2018/04/450.1-Outside-Employment-Concurrent-Emplmt.pdf)), conflict of interest ([330.1](https://www.uasys.edu/board-policy/330-1/)), patents and copyrights ([210.1](https://www.uasys.edu/wp-content/uploads/sites/16/2019/08/BP-210.1-Patent-and-Copyright-Policy-8.21.19.pdf)), and related provisions in the campus conflict of interest policy ([404.0](https://vcfa.uark.edu/fayetteville-policies-procedures/vprs/4040.php)). The form also assists the University in ensuring compliance with certain federal requirements.

Full-time (30 hours per week or more) faculty and non-classified administrative staff members are required annually or as needed to obtain **written approval** from the department head/supervisor and dean/administrative unit head **prior to undertaking outside employment** and are required to report on time spent in outside employment during the previous year. *Note: this requirement includes outside employment for all covered employees during University breaks and holidays.* ***Summer employment for 9-month faculty must be disclosed in advance*** *through the Conflict of Interest disclosure process if the summer employment 1) involves teaching, research, or otherwise engaging in an appointment with another institution, 2) pertains to University Research as defined under Board of Trustees Policy 210.1, 3) otherwise relates to the faculty member’s expertise or responsibilities as a University of Arkansas employee, or 4) involves compensation by a foreign entity.*

**Provost approval is required for all full-time UA faculty engaging in teaching, conducting research, or accepting any other appointment at another institution.**

Outside employment requiring prior approval includes consulting, teaching, compensated speaking engagements or other appointments, or service as an officer, manager, director/board member, or shareholder/owner of a company or organization unaffiliated with the University. It also includes foreign talent recruitment or foreign research funding arrangements, even if personal compensation for the employee is not included. Peer review activities for U.S. federal or state governmental agencies and domestic institutions that do not entail compensation beyond reimbursement for expenses and/or a nominal honorarium are excluded.

I request to undertake outside employment as follows:

Beginning Date: Ending Date:

Estimate of average hours per week to be spent over the period: hrs/wk

Note: faculty on 9- and 12-month appointments may be permitted to commit up to 15 workdays (Monday through Friday) per semester to an outside commitment, provided they are meeting their University obligations. 12-month faculty may also commit 15 workdays during the summer semester. Staff members must limit their consulting activities to non-work hours or use personal leave.

In the space below or in an attached explanation include: name and address of employer or contracting entity; source and type of compensation; specific explanation of the nature of the employment, role or position, location, schedule, how assigned University responsibilities will be covered during any absence; and whether or not the use of University facilities, property, or personnel are requested. For employees conducting federally funded research or engaged in outside employment/contracting with a foreign source, estimated, approximate amount (specific figure or [range](https://grants.nih.gov/grants/policy/coi/fcoi_web-based_tutorial.pdf)) of compensation must be listed.

Attach additional page(s) if needed.

What is the expected benefit of the outside employment to your professional development and to the University?

Documentation may be included with the request for approval. The University reserves the right to require that copies of any proposed contracts or agreements, including consulting agreements, appointment letters, business formation agreements, or other documentation be furnished in order to facilitate evaluation of the proposed outside employment.

*NOTE:* ***When approval of******outside employment is requested, the employee must also submit Appendix D, Disclosure of Potential Conflict of Interest and Commitment****.*

[ ]  *The information disclosed to the University may be subject to public disclosure.* ***To request that specific information be reviewed to determine if it is exempt from public disclosure, attach all the information required by Section 11.3 of the campus conflict of interest policy (404.0****).* **In signing this form, I** **acknowledge that all information not determined to be exempt may be released by the University upon public request, without further notice**.

[ ]  In signing this form, **I certify** **that all information furnished is true, accurate, and complete**, and understand that I will submit a new form each year if I seek to continue such outside employment.

[ ] Further, for any external consulting, appointment, or business activity, **I certify that all requirements of Board Policy 210.1 have been satisfied** (see excerpt below).

Signature: Choose a building block.

 Date:

Name (Print or Type):

Title/Position:

Department/Unit:

Employee ID#:

Note: This is a six-digit number; it is not the number on your UARK ID Card.

# Approvals (Signature certifies 1) that the faculty or staff member is fully and successfully meeting their assigned duties to the University, 2) that this form and supporting documentation has been reviewed, 3) that the proposed outside employment appears to be consistent with applicable University policies, and 4) that the employment will not interfere with the employee’s University obligations.) Approval may be withdrawn in the event that the above conditions are not satisfied.

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*Department Chair or Unit Head*

[ ]  Approved [ ]  Disapproved

[ ]  Further review or conditions required (specify): Choose a building block.

Name of Department Chair or Unit Head: Choose a building block.

Signature: Choose a building block. Date: Choose a building block.

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*Dean or Unit Head Supervisor*

[ ]  Approved [ ]  Disapproved

[ ]  Further review or conditions required (specify): Choose a building block.

Name of Dean or Unit Head Supervisor: Choose a building block.

Signature: Choose a building block. Date: Choose a building block.

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*Vice Chancellor for Economic Development (if referred by Dean due to intellectual property issues)*

[ ]  Approved [ ]  Disapproved

[ ]  Further review or conditions required (specify): Choose a building block.

Name of Vice Chancellor for Economic Development (or designee): Choose a building block.

Signature: Choose a building block. Date: Choose a building block.

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*Vice Chancellor for Research and Innovation*

[ ]  Approved [ ]  Disapproved

[ ]  Further review or conditions required (specify):

Name of Vice Chancellor for Research and Innovation (or designee): Choose a building block.

Signature: Choose a building block. Date: Choose a building block.

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***Provost***

**(Approval required for all full-time faculty teaching, conducting research, or other appointment at another institution).**

[ ]  Approved [ ]  Disapproved

[ ]  Further review or conditions required (specify): Choose a building block.

Name of Provost (or designee): Choose a building block.

Signature: Choose a building block. Date: Choose a building block.

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Copies of all outside employment forms and attachments approved by the Department Chair/Unit Head and Dean shall be forwarded to the Vice Chancellor for Research and Innovation (VCRI) and the Vice Chancellor for Economic Development (VCED) (as necessary), or their respective designees, for review and processing. The VCRI or VCED may require further review (including, but not limited to, review by the Conflict of Interest & Commitment Review Committee) or require additional conditions for approval of outside employment arrangements tentatively approved at the college or school level in light of applicable policies or statutory/regulatory requirements and in the best interests of the University. If Provost approval is required, the VCRI shall forward the form to the Provost. Upon final action, please furnish completed copy furnished to employee, Dean, Department/Unit Head, VCED, and Research Compliance.

*Board Policy 210.1, Patent and Copyright Policy, excerpt:*

I.D.2. External Consulting Agreements. Pursuant to this policy and Board Policies 330.1 and 450.1, together with any and all campus Conflict of Interest and Conflict of Commitment policies, persons employed, compensated, or appointed by the University may engage in external consulting work or business activities upon the following conditions:

* 1. Employees engaged in external consulting work or business are responsible for ensuring that agreements emanating from such work are not in conflict with this policy or with contractual commitments of and to the University, including teaching and research obligations.
	2. Such employees should provide affirmative notice to the other parties to such agreements, informing them of the obligations of the employees to the University and the possible applicability of this policy to such agreements. In addition, it is recommended that any Consulting Agreement contain the following sentence: “Nothing in this Agreement shall be construed to restrict or hinder the Consultant’s ability to conduct current or future research or teaching assignments with the University.” In the event of a conflict between the Consulting Agreement and this Board of Trustees Policy 210.1, the terms of this policy shall control.
	3. The intellectual property developed or created by such employee under a Consulting Agreement shall not be an Invention subject to this policy and may be owned by the employee or the company or organization for whom the employee consults provided the employee:

(1) obtains campus authorization prior to starting the consulting or business activity;
(2) abides by all applicable Conflict of Interest and Conflict of Commitment policies; and

(3) develops or creates such intellectual property without the use of (a) facilities owned, operated, or controlled by the University, (b) a pre-existing Invention owned by the University, or (c) University Research.

* 1. **It is the responsibility of the employee to ensure and establish that the intellectual property developed or created pursuant to a Consulting Agreement satisfies the conditions of the preceding Section I.D.2.c.**  (Emphasis added.)

Updated 8/31/2020