

Disclosure Guidance (Last revised 03/05/21)

UofL Covered Persons are required to submit an Attestation and Disclosure Form (ADF) at least annually. This document is designed to assist in framing the disclosure topics on the current disclosure form.

| Disclosure Category | | Disclosure Tip |
|-------------------------------------|---|--|
| UofL Section | Relatives Working at UofL | Serving as an instructor, advisor, or lecturer for a student who is an immediate family member, or otherwise evaluate the student’s performance, or make a decision concerning an award or reward, or serve on a scholarship committee |
| | Gifts, Gratuities or Special Favors | Aggregated gifts amounting to greater than \$25 per year from an outside organization that provides good, services, and/or funds to the university or associated organization (ULAA, ULF, ULRF). Examples include: Free meals, discounted items, gift cards, free tickets to entertainment events, software, or other tangible items. Please note that single gift items over \$25 value, must be politely refused |
| | Sponsored Programs/Projects Administered through UofL | This is for disclosing funding from non-US sources that flows through UofL, as well as, foreign shipping and payments related to these UofL activities. |
| | Intellectual Property | Includes unlicensed and Intellectual Property not assigned to UofL |
| US Based Section | Appointments/Affiliations with US entities, external to UofL | Includes not for profit entities and unpaid roles |
| | Equity/Ownership Holdings and External Financial Interests | Holding any ownership interest (e.g., stock, stock option, or other ownership interest). This includes start-ups. Exemptions are noted. |
| | External Fiduciary Activity | Includes serving as an agent, board member, broker, director, financial advisor, founder, partner, trustee, etc. |
| | External Management Activity | Serving in a management and / or operational role (president, officer, director, etc.), regardless of whether compensation is received for a for-profit (public or private) or not-for-profit entity |
| | External Professional/Research Activity | For disclosing travel paid directly to you by research sponsors, additional paid or unpaid teaching activities, and expert witness testimony (outside UofL role). |
| | Grants, Contracts, Cooperative agreements, Service Agreements or other funds | Receiving compensation from any public entity and/or the value of any equity interest (excluding purchase of mutual funds) in the entity; Receiving any compensation from any private entity. This includes external consulting activities, serving on advisory boards, and additional employment related your roles at UofL. |
| | Use of UofL Covered Persons or Other University Resources (e.g. equipment, facilities, supplies) in External Activities | This includes assigning or arranging internships, research, assistantships, and/or employment for faculty, staff, or students which you or a relative supervise or evaluate. |
| International Section | Appointments/Affiliations with international entities or governments | All foreign appointments and affiliations must be disclosed, even if no compensation is received |
| | Collaborations (including those anticipated to result in co-authorship) | Report foreign co-authorship occurring within the last three years |
| | Equity Holdings and External Financial Interests | In addition to stocks, ownership in foreign facilities (storage, manufacturing, etc.) must be disclosed |
| | External Professional/Research Activity | This includes disclosure of paid and unpaid activities. |
| | Grants, Contracts, Cooperative agreements, Service Agreements or other funds | Disclose international contracts that rest within UofL, as well as, any contracts outside of UofL |
| | Gifts | This also includes gifts provided by a third party on behalf of a foreign institution /organization |
| | In-kind or Donated Resources (Lab or Office Space, Equipment, Personnel, Scientific Supplies) | Use/provision of Lab/Office Space, Equipment, Personnel, Scientific Supplies that is not otherwise paid for by you or UofL |
| | Scientific Materials not freely available to others | This might be animals, reagents, biological materials, etc. |
| | Visiting faculty/scholars/scientists/postdocs/students (undergraduate and graduate) | This includes individuals that are compensated by their home institutions or are paying their own way |
| Additional International Activities | If you have an international activity that has not been disclosed elsewhere, include the details in this section | |

Additional information on COI’s, including FAQ’s, policies, and disclosing requirements is available on the COIC Office website or contact us directly.