

## Annual Disclosure and Certification Process and Form Introduction

The University is committed to ensuring that it conducts its business responsibly and ethically and to minimizing conflicts between its employees' University obligations and their outside personal or professional interests. In order to fulfill this commitment, the University requires all regular or term benefits-eligible staff to (1) complete the annual disclosure process described below and (2) certify they have reviewed and are familiar with their responsibilities as described by the following policies and regulations:

<b>Conflict of Interest Policies</b>	
<a href="#">2.1.5 Hiring Members of the Same Family or Household</a>	<a href="#">5.2.5 Use of University Resources</a>
<a href="#">5.2.1 Conflict of Interest</a>	<a href="#">5.2.6 Gifts and Gratuities</a>
<a href="#">5.2.2 Nepotism and Personal Relationships in the Workplace</a>	<a href="#">5.2.7 Solicitation and Distribution</a>
<a href="#">5.2.3 Consulting and Other Outside Activities</a>	<a href="#">5.2.8 Outside Consulting for Faculty Members Who Hold Administrative Appointments</a>
<a href="#">5.2.4 Purchasing and Contracts</a>	
<b>Other Policies</b>	
<a href="#">Reporting Potentially Illegal Activity</a>	<a href="#">5.1.2 Drug Free Workplace</a>
<b>NJ Regulations</b>	
<a href="#">Gender Equity Notice</a>	Conscientious Employee Protection Act: <a href="#">English, Spanish</a>

Employees can find all HR policies and statutory notices on the [HR policy website](#) and the [University policy website](#). To request a copy of this form created with a digital signature, [email HR](#).

## Annual Disclosure and Certification Form

**INSTRUCTIONS:** All staff members are expected to complete and sign this form and submit it to their supervisor no later than February 8, 2019. Managers of academic units should refer to the instructions they received from Karen Haskin. Administrative office heads should refer to the accompanying memo for additional instructions.

<b>NAME:</b>	<b>TITLE:</b>
<b>DEPARTMENT:</b>	<b>PERIOD COVERED: 1/1/18–12/31/18</b>
<b>EMPLOYMENT STATUS</b> (check one): <input type="checkbox"/> <b>FULL-TIME</b> <input type="checkbox"/> <b>PART-TIME</b> (if part-time, duty time = ____ %)	
<b>Section 1—NEPOTISM AND PERSONAL RELATIONSHIPS IN THE WORKPLACE</b>	
<p>During the past 12 months, have you initiated or participated directly or indirectly in decisions that provided a direct benefit (e.g., hiring, merit increases, work assignments, performance appraisals, etc.) to persons related to you by blood, marriage, or civil union, or members of the same household, including domestic partners or persons with whom you have a personal relationship?    <input type="checkbox"/> <b>YES</b>    <input type="checkbox"/> <b>NO</b></p> <p><b>If “yes,” please describe the nature of the relationship, including a description of the real or potential for conflict of interest or conflict of commitment.</b></p>	

**Section 2—CONSULTING, OUTSIDE EMPLOYMENT, AND OTHER OUTSIDE ACTIVITIES**

During the past 12 months, have you:

- worked (paid or unpaid) as an employee, e.g., second job; owner; operator; independent contractor; consultant; etc., for any organization, business, or individual **other than Princeton University**?  
 YES    NO
- had a management or other fiduciary role in any organization other than Princeton? This includes but is not limited to service as an officer, board member, supervisor or manager, or owner or principal at an organization or business other than Princeton. It also includes any type of scientific, technical, advisory, or other board appointment for which you might or might not have received remuneration or reimbursement for related travel or other expenses?    YES    NO

**If you answered “yes” to any of the items above, list all activities below and the nature of your relationship with that entity.**

Organization/Position	Nature of Work and Relationship to Your Activities at Princeton	Number of Days Worked during Past Calendar Year

In light of Princeton University’s policies and standards and your responses above, do you perceive any risk of conflict of interest or commitment, or appearance of conflict of interest or commitment, in performing your University job duties?    YES    NO

**If “yes,” describe the nature of the relationship, including a description of the real or potential for conflict of interest or commitment. Attach an additional sheet if necessary.**

**Section 3—PURCHASING AND CONTRACTS**

During the past 12 months, have you made any decision or do you have the authority to make or influence a decision as an employee of Princeton University with respect to any organization:

- in which you (or persons related by blood, marriage or civil union, members of the same household, including domestic partners or persons with whom you have a personal relationship) have greater than one percent (1%) of such organization’s stock or ownership interest?     YES     NO
- with which you or persons related by blood, marriage, or civil union, or members of the same household, including domestic partners or persons with whom you have a personal relationship, have current or pending employment, ownership, consulting, management, fiduciary or similar affiliation?     YES     NO
- from which you have solicited or accepted gifts, gratuities, favors, or anything of monetary value, including and not limited to current or potential vendors or contractors or their agents? Exceptions include ordinary business courtesies, such as payment for a meal or event, or acceptance of gifts that are promotional items without significant value and that are distributed routinely.     YES     NO

**If you answered “yes” to any of the items above, provide a brief analysis and description below of the real or potential conflict of interest or commitment. Attach an additional sheet if necessary.**

Company	Nature of Work and Relationship with Your Princeton Related Activities (Include Any Sponsored Program at Princeton That Might Be Affected)	Amount and Percentage of Ownership	Approximate Value

#### Section 4—GIFTS, SOLICITATIONS, AND USE OF UNIVERSITY RESOURCES

During the past 12 months, have you:

- solicited gifts from vendors, contractors, local businesses, University departments, or others with whom there is a potential or ongoing professional relationship?  YES  NO
- accepted gifts or perquisites from local businesses, vendors, contractors, or others with whom there is a potential or ongoing business or professional relationship, including travel expenses, meals, hotel accommodations, or their reimbursement, etc.? Exceptions include ordinary business courtesies, such as payment for a meal or event, or gifts which are promotional items without significant value and which are distributed routinely.  YES  NO
- engaged in fundraising events with coworkers on behalf of charitable organizations? Exceptions are passive fundraising events (e.g., an office display for selling Girl Scout cookies, etc.) and University-sponsored activities, such as the United Way.  YES  NO
- used your University office, shop, staff (including their own time), equipment, supplies, computers or tablets, telephones, licensed software or technology, and any other University resources for non-University related activities? While there may be occasional instances when business related correspondence or the like is received at the University office, employees should not routinely use University resources (either during or after normal business hours) for the conduct of outside business. Personal calls should be kept to a minimum per University policy.  
 YES  NO

**If you answered yes to any of the items above, provide a brief analysis and description of the real or potential conflict of interest or commitment. Attach an additional sheet if necessary.**

**Section 5—REVIEW OF OTHER POLICIES AND/OR REGULATIONS**

1. I have reviewed University policy Reporting Potentially Illegal Activity and understand my responsibilities under this policy.
2. I have reviewed and am familiar with my obligations under the Drug Free Workplace Act.
3. I have reviewed and am familiar with the protections afforded me by the NJ Conscientious Employee Protection Act.
4. I have reviewed the protections afforded me by the NJ Gender Equity Notice of 2014, which provides individuals with the right to be free of gender inequity or bias in pay, compensation, benefits, or other terms and conditions of employment.

**Section 6—SIGNATURE AND MANAGEMENT REVIEW**

**MY SIGNATURE:** By signing this form I (1) certify that I have read and understand the policies and regulations referred to in this document; (2) certify that the information I have provided on this form is complete and accurate to the best of my knowledge; and (3) acknowledge my continuing obligation to complete and **submit a new Annual Disclosure and Certification Form at any time during the year** as it pertains to conflict of interest or conflict of commitment when there is any actual or anticipated significant change in my outside activities or related financial interests.

**SIGNATURE:** \_\_\_\_\_

**DATE:** \_\_\_\_\_

**Violation of this policy, including failure to complete this form, is considered a serious matter and may result in disciplinary action up to and including employment termination.**

**MANAGEMENT REVIEW:** After you have reviewed this disclosure form, check the appropriate statement and sign below.

I have reviewed this disclosure form and determined that:

- The individual had no material conflict of interest or commitment with regard to the individual's responsibilities.
- The individual had a material conflict and the following description is how the individual will address and/or eliminate the conflict.

**SUPERVISOR'S NAME (print):** \_\_\_\_\_

**SUPERVISOR'S SIGNATURE:** \_\_\_\_\_

**DATE:** \_\_\_\_\_