

JPL APPLICATION FOR OUTSIDE EMPLOYMENT, CONSULTING, OR BUSINESS ACTIVITY

1. All **EMPLOYEES** who wish to engage in an outside employment, consulting or business activity (herein referred to as outside activity) must complete a separate form for each activity. Answer all questions as thoroughly as possible. Include all relevant information to facilitate the review process. **Use additional pages as necessary.**

a. Employee Name _____ Org. # _____ Emp. # _____ Ext. _____ M/S _____

b. Current JPL Responsibilities _____

c. Supervisor Name _____ Org. # _____ Ext. _____ M/S _____

d. Provide a brief but specific description of the proposed outside activity

e. List the beginning and ending dates of the proposed outside activity _____

f. Approximately how many hours per week will you be working on the outside activity? _____

g. When will the outside activity be conducted (e.g., evenings, weekends, vacation, leave without pay)? _____

h. Identify the outside organization you propose to work for. Name: _____

Address: _____

i. Are you, a member of your immediate family, or a close personal friend an officer of this outside organization or do any of you expect to become an officer of this organization? Yes No If yes, please provide the following information:

Name _____ Relation _____ Position _____

Name _____ Relation _____ Position _____

j. Do you, a member of your immediate family, or a close personal friend have, or expect to have, any financial interest in this outside organization? Yes No If yes, please provide the following information:

Name _____ Relation _____ Position _____

Name _____ Relation _____ Position _____

k. Does the outside organization have any active or anticipated work with JPL that is related to your outside work? Yes No

If yes, please provide the following information:

Contract No. _____ Your involvement in the work as a JPL employee _____

Your involvement in the work for the outside organization _____

l. If you will be engaged in your own business will any other JPL employee/contractor personnel be working in the business?

Yes No If yes, please provide the following information:

Name _____ Employee/Badge No. _____

Name _____ Employee/Badge No. _____

m. Are you engaged in any other outside activities? Yes No If yes, please provide the following information:

Activity _____ Hrs./week _____ Activity _____ Hrs./week _____

2. Only **EMPLOYEES** seeking approval to license Caltech intellectual property, or to work for a company that is licensing Caltech intellectual property, must complete this part of the form. Such employees must set up a meeting with the Ethics Office to discuss their outside activities.

a. List the New Technology Report (NTR) number and title for the technology you want to license.

b. List the NTR innovators and whether they will be participating in the outside activity.

- c. Will you receive an ownership interest, including stock options, in the company that commercializes the technology? Yes No
 If yes, how much? _____ % and \$ _____
- d. Is the technology you want to license still under development at JPL? Yes No If yes, explain.

- e. Are there any proposals for Government sponsors to fund further development of this technology? Yes No If yes, explain.

- f. How does your current JPL work relate to the technology to be licensed?

3. I understand that the following conditions apply to approval of the outside activity described above:

- a. I may not use my JPL position to advance my outside business interests. I must also avoid actions that give the appearance of doing so.
- b. I will obtain review and prior approval of any substantive change in the nature of my outside activity or any JPL assignment that presents a potential for conflict of interest as described in the JPL policy titled **Outside Employment, Consulting or Business Activity**.
- c. I may not engage in any outside activity on JPL work time or use any JPL equipment, facilities, services or supplies (including computers, software, reproduction machines, telephones, mail service, stationery, etc.) in connection with my proposed outside activity.
- d. I may not use the name, seal or letterhead of the California Institute of Technology, the Jet Propulsion Laboratory or any other Institute or Laboratory facility or organization in the conduct of my proposed outside activity.
- e. I am required to promptly provide written notice to the JPL Intellectual Property Group of any inventions and new technical know-how originated while performing my outside activity if such inventions and know-how may be within the scope of my JPL employment obligations. I understand that these obligations include both current work assignments and possible future assignments. At the request of the Intellectual Property Group, I will provide explanatory information on such inventions and know-how to the Group so they can determine whether it is within the scope of my JPL employment and, as such, must be reported to the Government.
- f. I will not use or disclose Caltech/JPL intellectual property without first obtaining the written approval of the Caltech Intellectual Property Office.
- g. I will not represent any organization with which I have an outside business interest to JPL, Caltech or NASA, nor will I represent JPL to such organization.
- h. Neither I, nor any organization which is substantially owned or controlled by me, shall enter into any contracts with JPL unless I have been granted an advance waiver signed by the Manager, Acquisition Division, and the Associate Director/Chief Financial Officer. (See the JPL policy titled **Outside Employment, Consulting or Business Activity**.)
- i. I will not compete with JPL for funding from any potential sponsor, nor will I assist any organization with which I have an outside business relationship in competition with JPL for such funding.
- j. If I am a principal in the business for which I am submitting this application, I must disclose in writing to the Ethics Office any new clients I will be working with and obtain approval from the Ethics Office before I begin to do work for that client.
- k. If my outside activity includes the use of written material developed by or derived from JPL or Caltech, or describes, explains, evaluates, represents or otherwise addresses any past, present, or proposed work by JPL or Caltech, such written material must be reviewed before publication or use by the JPL Document Review Services Group. Attribution for JPL material used should be as follows: "Provided through the courtesy of the Jet Propulsion Laboratory, California Institute of Technology," or, where space is limited: "Courtesy JPL/Caltech."
- l. If I engage in any business activities outside the U.S. or with a foreign national, I may be required to acquire an export license and ensure proper compliance with federal laws and regulations governing the export of technical services and technology to foreign entities. If an export license is required, it is my responsibility to acquire one prior to starting any relationship outside the U.S. or with a foreign national. (Contact both the U.S. Department of State [<http://www/pmdtc.org/>] and the U.S. Department of Commerce [<http://www.bxa.doc.gov/>] to determine whether your outside business activities are subject to federal export laws and regulations.)
- m. I have read and understand the following JPL policies which are available on JPL's website: **Ethical Business Conduct; Conflict of Interest in Procurements; Conflict of Interest; Outside Employment, Consulting and Business Activities; and Use of JPL and Sponsor Resources**.
- n. If I or my company is licensing Caltech intellectual property, I am aware that I may remain in the employ of Caltech/JPL only so long as I have no involvement in any further government funded development of this technology.
- o. If I or my company is licensing Caltech intellectual property, I agree to promptly notify the Ethics Office when I become aware of any actual or proposed government funded JPL work involving this technology.

To the best of my knowledge, the information on page 1 of this form relating to my outside activity is accurate and complete. I agree to abide by the above conditions in performing my outside activity.

 Signature of Employee

 Date

4. The **SUPERVISOR** of the employee seeking approval for an outside activity must answer all questions listed below, recommend approval as appropriate, and forward the completed application through the section and division or project manager to the Ethics Office.

a. How does the proposed outside activity relate to current/future work assignments of the employee? Is there an overlap between the proposed work and the JPL work?

b. Will the outside activity enhance the value of the employee to JPL? Yes No Explain.

c. Will the outside activity relate to or be used on any ongoing or anticipated JPL, NASA, or other sponsor programs?

d. Should the Ethics Office contact the section manager quarterly to review the employee's current and projected JPL work assignments as they relate to the employee's outside activities? Yes No

To the best of my knowledge, this outside activity will not constitute a conflict of interest, nor will it interfere with the employee's required time at and commitment to JPL. I have reviewed and discussed the policy titled **Outside Employment, Consulting or Business Activity** with the employee and I recommend that this application be approved, subject to the conditions, limitations and restrictions listed here:

Signature of Supervisor

Date

5. CONCURRENCE

Signature of Section Manager or Division (if applicable)

Date

Signature of Division/Project Manager or Director (if applicable)

Date

6. APPROVAL

Signature of Ethics Advisor

Date