

**APPLICATION FOR OUTSIDE EMPLOYMENT, CONSULTING  
OR BUSINESS ACTIVITY (OUTSIDE ACTIVITY)**

<b>(Please Print Or Type)</b>	Date Submitted _____	
Name of Employee _____	Ext. _____	Dept./ Division _____
Job Title _____		Mail Code _____
Professional Field and Specialty _____		
Present Field of Work _____		
Name of Employee's Supervisor _____	Ext. _____	Dept./ Division _____
Job Title _____		Mail Code _____

**IMPORTANT - PLEASE READ**

Employees must not use their Caltech positions for private gain for themselves or persons with whom they have family, business, personal, or financial ties. It is equally important that employee actions not give the appearance of such intent. It is the responsibility of employees to obtain review and approval of activities which present a potential for conflict of interest. (Refer to Caltech Personnel Memorandum No. 9-3)

**REQUIRED INFORMATION**

**PART I: Employee**

Please complete a separate form for each outside employment, consulting or business activity (herein referred to as outside activity). Answer all questions as thoroughly as possible. (It is important to include all relevant information in order to facilitate the review process. Use additional paper if necessary.) After completing and signing Part I of this application, forward to your supervisor for completion.

**Description of Proposed Outside Activity:**

1. Provide a brief but specific description of the nature of the proposed outside activity.  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
  
2. Between what dates will you be engaged in the proposed outside activity? (Note: approvals are granted for specified periods. If the activity continues beyond the specified approval date, you will need to submit another request to extend it.)  
\_\_\_\_\_
  
3. How many hours per day and/or per week will you be working or consulting for this outside activity?  
\_\_\_\_\_
  
4. When will the proposed outside activity be conducted (e.g., evenings, weekends, on vacation time or leave without pay, or during the regular Caltech workday, e.g. 8 a.m. to 5 p.m.)?  
\_\_\_\_\_
  
5. List the name and address of the outside organization for which you will be conducting outside activities and describe what your relationship to it will be. Employee? Consultant? Unpaid advisor? Board member? Other?  
\_\_\_\_\_  
\_\_\_\_\_
  
6. Will you receive pay  expense reimbursement  or both  as compensation for this outside activity?  
I will receive no compensation or expense reimbursement for this outside activity.   
**Please check the correct box.**
  
7. Will your outside activity involve travel or other activities which will be paid for directly by a third party? Will family members be able to accompany you on that travel or activity? If the answer to either question is yes, please explain.  
\_\_\_\_\_  
\_\_\_\_\_

8. Are you, any member of your immediate family, or close personal friend an officer of this outside organization? Do you, any member of your immediate family, or close personal friend expect to be an officer, or will you have any such relationship with this organization (other than as described in this application) in the future? \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_
9. Do you, any member of your immediate family, or close personal friend have any present or anticipated financial interest in this outside organization? If so, please explain.  
 \_\_\_\_\_  
 \_\_\_\_\_
10. Do you know of any active or anticipated work Caltech has with this outside organization? If yes, please identify (include contract numbers if known), and indicate if you would have any involvement in the work either as a Caltech employee or as a member of the outside organization.  
 \_\_\_\_\_  
 \_\_\_\_\_

**Other Outside Activities:**

List all other current outside activities you are engaged in. Indicate hours per day and per week devoted to each one.

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

I understand that I am obligated to report and assign to the Institute inventions conceived or first actually reduced to practice in the performance of work for the Institute. In order to determine such issues as may arise regarding rights in inventions, the Institute reserves the right to review patent and royalty agreements entered into by Employee, and requires that Employee disclose to the Institute any inventions made solely or jointly with others during the term of employment. Any such disclosure shall be made to the Director, Patents and Licensing, and will be received in confidence.

I understand that I may not engage in outside business activity, outside employment or consulting on Caltech work time. I also understand that any use of Caltech equipment or facilities (including computers and software), services or supplies, reproduction machines, telephones, mail service, stationery, etc., in connection with my proposed outside activity is prohibited. In addition, the use of 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 is prohibited.

**I have carefully read and understand Caltech Personnel Memorandum 9-3.**

\_\_\_\_\_  
 Signature of Employee

\_\_\_\_\_  
 Date

**REQUIRED INFORMATION**

**PART II: Supervisor**

Please answer all questions listed below, recommend approval as appropriate, and forward the complete application to the Director of Employee Relations – MS 207-85.

- 1. What are the similarities between the proposed outside activity and the work the employee performs at Caltech?  
\_\_\_\_\_  
\_\_\_\_\_
- 2. 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 Caltech work?  
\_\_\_\_\_  
\_\_\_\_\_
- 3. Will this outside activity enhance the employee's contribution to Caltech?  
\_\_\_\_\_  
\_\_\_\_\_
- 4. Will the outside activity relate to or be used on any ongoing or anticipated Caltech programs?  
\_\_\_\_\_  
\_\_\_\_\_

I have approved participation in this outside activity and do not believe it constitutes a conflict of interest, nor will it interfere with the employee's required time at and commitment to Caltech. I have reviewed and discussed P.M. 9-3 with the requester, and I recommend that this application be approved, subject to the following conditions, limitations, or restrictions:

\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
Supervisor Date

\_\_\_\_\_  
Division Chairperson/Department Director Date

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**HUMAN RESOURCES DEPARTMENT - APPROVAL**

Approval is granted subject to the conditions (if any) specified below. If this outside activity continues beyond the dates specified, you must submit another application to extend it.

Conditions (if any):  
\_\_\_\_\_  
\_\_\_\_\_

Outside activity may be performed between \_\_\_\_\_ and \_\_\_\_\_.  
Beginning date Ending date

\_\_\_\_\_  
Director of Employee Relations Date