

**Foreign Government Sponsored or Affiliated Activities
Acknowledgment Form
Subcontractor Employee**

Print Name and ORNL Badge # (if applicable): _____

Briefly describe the work you perform for UT-Battelle: _____

What are Foreign Government Sponsored or Affiliated Activities (FGS/AA)?

Foreign Country of Risk Sponsored or Affiliated Activity: Any foreign government-sponsored talent recruitment program or other foreign government sponsored or affiliated activity, as defined below, of a Foreign Country of Risk.

Foreign Government-Sponsored Talent Recruitment Program: An effort directly or indirectly organized, managed, or funded by a foreign government to recruit science and technology professionals or students (regardless of citizenship or national origin, and whether having a full-time or part-time position). Some foreign government-sponsored talent recruitment programs operate with the intent to import or otherwise acquire from abroad, sometimes through illicit means, proprietary technology or software, unpublished data and methods, and intellectual property to further the military modernization goals and/or economic goals of a foreign government. Many, but not all, programs aim to incentivize the targeted individual to physically relocate to the foreign state for the above purpose. Some programs allow for or encourage continued employment at U.S. research facilities or receipt of Federal research funds while concurrently working at and/or receiving compensation from a foreign institution, and some direct participants not to disclose their participation to U.S. entities. Compensation could take many forms including cash, research funding, complimentary foreign travel, honorific titles, career advancement opportunities, promised future compensation, or other types of remuneration or consideration, including in-kind compensation.

Distinguishing features of a FGS/AA include:

- **Foreign Country of Risk:** Any foreign country determined to be of risk, following consideration of, but not limited to, the Office of the Director of National Intelligence WorldWide Threat Assessment and The National Counterintelligence Strategy of the United States of America, by the Under Secretary for Science in consultation with the Under Secretary of Energy; the Under Secretary for Nuclear Security; and the Office of Intelligence and Counterintelligence.
- **Other Foreign Government Sponsored or Affiliated Activity:** Includes the following activities directly or indirectly involving a foreign country of risk entity, as defined below:
 - Employment.
 - Other support, contractual or otherwise, direct and indirect, including current and pending private and public sources of funding or income, both foreign and domestic. For researchers, other support includes all foreign country of risk entity resources made available, directly or indirectly, to a researcher in support of and/or related to all of their professional R&D efforts, including resources provided directly to the individual rather than through the research institution, and regardless of whether or not they have monetary value (e.g., even if the support received is only in-kind, such as office/laboratory space, equipment, supplies, or employees). This includes resource and/or financial support from all foreign and domestic entities, including but not limited to, gifts, financial support for laboratory personnel, and participation of student and visiting researchers supported by other sources of funding. This further includes compensation, for example, current or promises of future: grants, awards, funding, scholarship, appointment, sabbatical, travel, university directed funding, and honoraria.
 - Current or pending participation in, or applications to programs, e.g., grant programs, sponsored by foreign governments, instrumentalities, or entities, if not a Foreign Government-Sponsored Talent Recruitment Program, as defined. Associated contracts, upon request by DOE, must be disclosed, in addition to the fact of participation.
 - Positions and appointments, both domestic and foreign, including affiliations with foreign entities or governments. This includes titled academic, professional, or institutional appointments whether or not remuneration is received, and whether full-time, part-time, or voluntary (including adjunct, visiting, or honorary).

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Activities Acknowledgment Form
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- The following, considered alone, are not included in this definition:
 - In-kind support under a fundamental research collaboration for the sole purpose of co-authorship to be made publicly available; and
 - Support related specifically to implementing a DOE program-sponsored international collaboration project and within the scope of a DOE-level or U.S. Government-level bilateral or multilateral international agreement.

These programs are often part of broader whole-of-government strategies to reduce costs associated with basic research while focusing investment on military development or dominance in emerging technology sectors. For purposes of this definition, a foreign country of risk entity includes the following:

- i) any foreign government or foreign government agency or instrumentality thereof of a Foreign Country of Risk;
- ii) any form of business enterprise or legal entity organized, chartered, or incorporated under the laws of a Foreign Country of Risk; and
- iii) any form of business enterprise or legal entity which is owned, controlled, or influenced by an entity described in paragraphs i) or ii) above, or by any foreign national of a Foreign Country of Risk.

ACKNOWLEDGMENT I am _____ or I am NOT _____ currently participating in Foreign Government Sponsored or Affiliated Activities and the explanatory information provided (if any) is accurate and complete to the best of my knowledge. I further agree to promptly notify my employer if any facts or circumstances arise in the future that would result in a revision of my answers on this Form.

If you answered that you **ARE** currently participating in a FGS/AA, provide the below detailed information to your employer:

- (a) The name of the government that is sponsoring the FGS/AA;
- (b) The name of the organization or talent recruitment program that you as the employee are working with;
- (c) The nature of the responsibilities you have under the FGS/AA;
- (d) The duration of the commitment you have made under the FGS/AA; and
- (e) The amount of compensation (or remuneration) you are receiving as a result of participating in the FGS/AA (e.g. stipend, living expenses, travel).

A complete copy of any agreement that you as an employee of the employer have signed under the FGS/AA shall be provided to UT-Battelle, LLC (*M&O of ORNL on behalf of DOE*) and attached to this Form.

(Note: A positive response does not necessarily disqualify you from working at ORNL, however, further investigation is necessary in order to make a final determination.)

Questions regarding this Form should be addressed to Oak Ridge National Laboratory's Office of General Counsel at ethics@ornl.gov.

Printed Name

Signature

Date