

GOVERNMENT RELATIONS QUESTIONNAIRE

(Revised in November 2017)

Reporting Period: _____ Year: _____

Name: _____ Title/Department: _____

Date: _____

Duke is required to submit reports to federal and state regulators on lobbying, tax and related activities of Duke employees and contractors on Duke's behalf.

Activities must be reported in the month or quarter in which they occurred.

To assist in the preparation of these reports, please complete the following questionnaire and send it via email to dukegovernmentrelations@duke.edu or print it out and fax it to 919-668-3104 should you have anything to report.

For a list of definitions and activities that may trigger or are expected from reporting obligations, see "[Definitions, Exceptions and Examples.](#)"

PLEASE NOTE:

This questionnaire is not intended to solicit information about political campaign activities or government relations activities on behalf of any individual or institution other than Duke, if the activities are undertaken on Duke employee's or contractors' individual's own time, without the use or expenditure of Duke personnel, funds or other resources.

Questions about this questionnaire or the related Policy on Government Relations Activities should be directed as follows:

- For questions regarding federal reporting for Duke University (Sections I and II), please contact:
Office of Government Relations
Tel: 919-668-6270
<https://governmentrelations.duke.edu/>
- For questions regarding federal reporting for any component of Duke Health (Sections I and II) and state reporting for both Duke University and any component of Duke Health (Section III), please contact:
Duke University Health and State Government Relations
Tel: 919-416-8910
<https://govrelations.duke.edu/>

I. Tax Reporting (IRS Requirement)

a. Individual Effort. Please list any individuals in your department who were engaged in or managed Duke "lobbying" activities in the above time period and estimate the percentage of time at work spent by those individuals preparing for and engaging in such activities. Attach additional sheets, if needed.

<u>Name</u>	<u>Effort (%)</u>
_____	_____
_____	_____
_____	_____
_____	_____

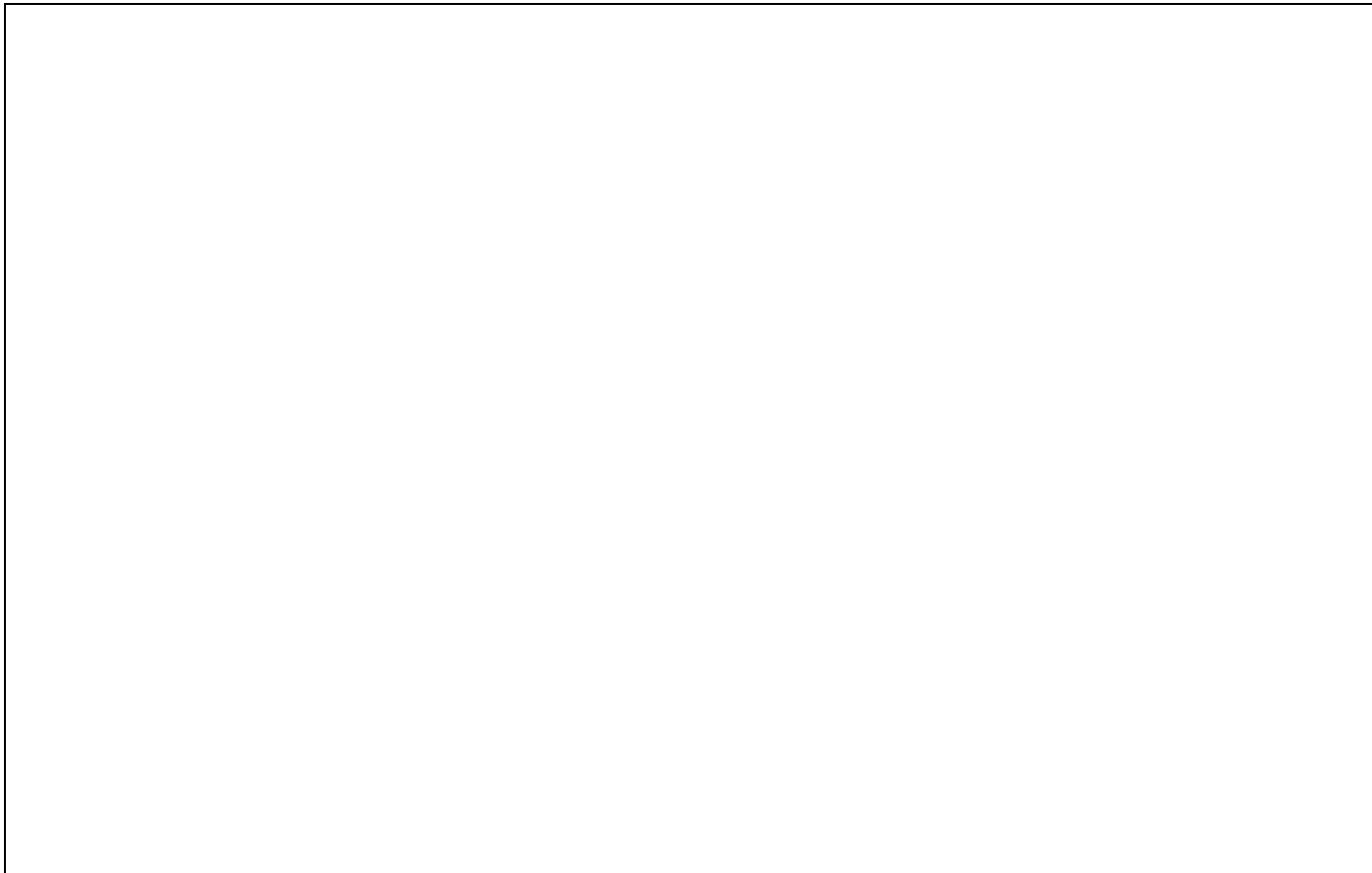
b. Expenses. Please identify any expenses incurred by your department for any of the following activities in connection with "lobbying" activities during the above time period. Expenses should be allocated if a particular activity had multiple purposes, one or more of which did not qualify as lobbying.

<u>Activity</u>	<u>Cost/Expense (\$)</u>
Media advertisements	_____
Mailings to members, legislators, or the public	_____
Publications, or published, or broadcast statements	_____
Grants and other payments to other organizations for lobbying purposes ¹	_____
Direct contact (e.g., phone call or visit) with legislators, their staffs, government officials, or a legislative body ²	_____
Rallies, demonstrations, seminars, conventions, speeches, lectures, or any other means	_____

¹ In addition to including payments made explicitly in support of lobbying by other organizations such as professional societies or associations, please consult with those organizations to determine whether a share of dues paid on Duke's or an individual's behalf should be allocated to lobbying.

² Expenses for direct lobbying on Duke's behalf should be reported here, such as payments to outside lobbyists or lobbying firms.

c. Description of lobbying activities. In addition to supplying the effort and financial data above, please provide a statement giving a detailed description of the lobbying activities reported. For example, a description should be supplied if you or individuals in your department attempt to influence legislation through (i) meetings, calling or sending letters or publications to government officials, legislators or the general public or (ii) placing advertisements, issuing press releases, or holding news conferences.

A large, empty rectangular box with a thin black border, intended for the user to provide a detailed description of lobbying activities as requested in the text above.

II. Federal Gifts and Travel Reporting (Lobbying Disclosure Act)

a. Gifts. Duke employees and contractors are generally prohibited from providing gifts (including meals and entertainment, tickets to sporting events, or any Duke memorabilia) to Members of Congress, covered executive branch officials or their staff. The following questions solicit information on gifts and other activities falling within the exceptions to this prohibition for required reporting purposes.

- 1) Have you or your department paid an admission fee, food costs (all or a portion), for a Member of Congress, congressional staff or executive branch official to attend an event? If so, please provide details of the event and an itemized list of all expenses paid for by Duke. In addition to items above, please indicate if the event was “open” or by invitation only and the number of individuals in attendance.

- 2) Have you or your department paid all or a portion of the admission cost for a member of Congress, congressional staff or executive branch official to attend a “charity event”? If so, please provide details of the charitable event and an itemized list of all expenses paid for by Duke.

b. Travel. The federal congressional ethics rules permit Duke to request, organize, and arrange for members of Congress, staff and executive branch officials to travel to Duke as long as the purpose of the trip is related to the member's official duties. If you have organized, requested or arranged for such travel to Duke, please provide details of the travel including its purpose and the costs associated with the trip, paid by Duke.

III. North Carolina Gift Reporting (State Lobbying and Ethics Acts)

Duke's employed or engaged lobbyists, employees and contractors are generally prohibited from providing gifts, including meals and entertainment, tickets to sporting events, or any Duke memorabilia to members of the North Carolina General Assembly and their staff, and certain other "covered state officials." The following questions solicit information on gifts and other activities falling within the exceptions to this prohibition for required reporting purposes. If the provided space is insufficient, please fax additional information to 919-668-3104.

- 1) Have you invited a member of the North Carolina General Assembly, their staff, or a covered state official to attend an "open meeting" or an "invited gathering" and paid all or a portion of the costs associated with the event, including food costs? If so, please provide details of the event, including a list of attendees and an itemized list of all expenses paid for by Duke.

- 2) Have you paid for or reimbursed all or a portion of the expenses (food, beverage, registration, travel, lodging, entertainment, etc.) of a member of the North Carolina General Assembly, their staff, or a covered state official to participate in an educational meeting or panel presentation? If so, please provide details of the event, including a list of attendees and an itemized list of all expenses paid for by Duke.

- 3) Have you participated in a one-on-one meeting with a member of the North Carolina General Assembly, their staff, or a covered state official? If so, please provide details of the meeting and a list of all the participants and any expenses paid for by Duke.

- 4) Have you reimbursed or paid for all or a portion of the expenses (food beverage, transportation) of a member of the North Carolina General Assembly, their staff, or a covered state official to participate in an “officer/director/advisory/board member meeting” or event? If so, please provide details of the event, including a list of attendees and an itemized list of all expenses paid for by Duke.