

CONFIDENTIAL

University of Central Arkansas

Financial Conflict of Interest Annual Disclosure Form for Investigators in Externally Sponsored Programs

This form is confidential and may be reviewed only by the appropriate Department Head/Director/Dean and others as designated in the UCA Conflict of Interest policy. Originals are submitted to the Research Compliance Office. Copies may be made only by the signer and by the Research Compliance Office and originals and copies maintained only in their respective filing systems.

What is “Financial Conflict of Interest”?

A conflict of interest occurs when there is a divergence between an individual’s private interests and his or her professional obligations to the University such that an independent observer might reasonably question whether the individual’s professional actions or decisions are determined by considerations of personal gain. Potential and actual financial conflicts of interest depend on the situation and both must be managed accordingly. The identification of these financial interests does not necessarily imply any improper activities or motives on the part of the individual.

What is the purpose of this form?

This form seeks to identify financial conflicts of interest that must be managed:

- to help assure the ethical conduct of research and sponsored programs,
- to address federal regulations governing externally-sponsored programs, and
- to help protect both the institution and investigators in limiting their liabilities in the conduct of university-affiliated activities.

Who should complete this form?

All “Investigators” as identified by the Principal Investigator on the grant proposal are responsible for the design, conduct, or reporting of externally funded research or other externally funded program must submit an annual disclosure form.

When do I complete this form?

Annual disclosures are due September 30th of each year and are based on your data from the prior fiscal year (July-July). The disclosure date provides individuals the ability to use their annual income tax return information, if needed, to complete this form. A current disclosure must be on file with the Research Compliance Office prior to the submission of proposals for external funding. In addition, if there is a material change to the information provided (an acquisition or disposition of a significant financial interest), a new disclosure form must be submitted within 30 days of that change.

Where can I find more information?

For more information about the UCA Financial Conflict of Interest policy, disclosure process, and forms visit:
<http://www.uca.edu/sponsoredprograms/policies/documents/FOCI.pdf>

University of Central Arkansas
2010-2011 Disclosure Statement for Compliance with the
Policy on Financial Conflict of Interest for Sponsored Scholarly Activities

Name: _____ **Title:** _____
Department: _____ **College:** _____
Email: _____ **Phone:** _____

Question: During the last academic year, did you, your spouse, domestic partner, and/or dependent children, alone or in combination, have **significant financial interest** in an entity that:

- *sponsors your research or your program.*
- *has made or pledged a gift to the University of Central Arkansas that benefits your research or sponsored program.*
- *has products, services, or research interests that could reasonably appear to be affected by your research or sponsored program.*
- *sells goods or services to the University that will be used in your research or sponsored program, or*
- *has another involvement in your research or sponsored program (such as a consulting agreement, board of directors, own stock)?*

A significant financial interest involves:

(a) receiving compensation during the year over \$10,000
or
(b) having an equity interest over \$10,000
or
(c) having an ownership interest over five percent (5%)

This does not include 'indirect' equity interest or ownership through mutual funds.

Click the appropriate answer: **NO** **YES**

If you answered **YES** to the question, complete the following, sign and submit this form.

(1) Provide the following information about the significant financial interest.

Name and Type of business(es):

(2) Please describe the nature of your, or your immediate family's relationship to the business(es) identified above (e.g. consulting, employee, board of directors, stock ownership, etc.)

PLEASE SIGN AND SUBMIT TO: SPONSORED PROGRAMS OFFICE, TORREYSON WEST 324

I agree to abide by University of Central Arkansas's Conflict of Interest policy. In submitting this form and disclosure attachments, if required, I certify that the information provided is true to the best of my knowledge. I supply the information for confidential review by University of Central Arkansas, and for such other limited purposes as are required by law, regulation, or contract. I do not authorize release of any of it for any other purpose. I understand and agree that if there is a material change (an acquisition of a significant financial interest) to this information, I must submit a new disclosure and attachment within 30 days of that change.

Signature _____

Date _____