**TO BE COMPLETED BY EACH PRINCIPAL INVESTIGATOR**

**OR PROJECT DIRECTOR**

**THE UNIVERSITY OF NORTH ALABAMA STATEMENT OF POTENTIAL CONFLICT OF INTEREST**

**Certification of Compliance with the Policy on Conflict of Interest**

Name:

Title:

Department(s)/Unit:

Campus Telephone Number:

 E-Mail Address:

Date:

Statement Type: [ ]  New [ ]  Revised [ ]  Annual

The following questions apply to your current situation. If there are any changes during the course of the proposed project, you must resubmit this form with the new information.  **If you answer yes to any of the questions below, provide a detailed and thorough explanation in the space provided.**

|  |
| --- |
| **1.** Do you or members of your immediate family (i.e., spouse or dependent children as defined by the Internal Revenue Service) have a **significant financial interest**, as defined herein, in any company, enterprise or entity? |
| [ ]  No | [ ]  Yes  |       |
| **2.** Do you currently conduct internally or externally sponsored research or are you supported by a grant or contract the outcome of which could affect the interests of a company, enterprise or entity in which you (or members of your immediate family) have an equity interest, have employment or consulting arrangements and/or other financial interests? |
| [ ]  No | [ ]  Yes  |       |
| **3**. Do you currently have internally or externally sponsored research or are you supported by a grant or contract where you (or members of your immediate family) have:  |
| A. Employment or consulting arrangements with the sponsor of the research? |
| [ ]  No | [ ]  Yes  |       |
| B. Significant financial interest with or in the sponsor of the research? |
| [ ]  No | [ ]  Yes  |       |
| C. Significant financial interest with or in a subcontractor/subawardee to the grant? |
| [ ]  No | [ ]  Yes  |       |
| **4.** Do you currently have gifts, cash, or property which directly support your teaching or research activities from a company, enterprise or entity in which you (or members of your immediate family) have an equity interest, employment or consulting arrangement and/or other financial interests? |
| [ ]  No | [ ]  Yes  |       |
| **5.** Does the University currently have a technology licensing arrangement with a company, enterprise or entity for which you (or your immediate family members) have equity interest, employment or consulting arrangements and/or other financial interests? |
| [ ]  No | [ ]  Yes  |       |
| **6.** If you answered yes to *any* question above, please describe the involvement, if any, of human subjects in your research. |
| [ ]  No | [ ]  Yes  |       |

**Certification**

In submitting this Statement, I certify that the above information is true to the best of my knowledge and that I have read and understand the University of North Alabama’s Conflict of Interest Policy, Ethics Policy, and Faculty or Staff Outside Employment Policy. I certify that I have disclosed all potential financial interests as required by all UNA policies. I agree to comply with provisions of UNA policies to immediately report changes in my financial interests. Furthermore, I agree to comply with conditions or restrictions imposed by UNA to manage, reduce or eliminate actual or potential conflicts of interest.

|  |  |  |
| --- | --- | --- |
|  |  |  |
| Principal Investigator or Project Director |  | Date |

**Acknowledgement by:**

|  |  |  |
| --- | --- | --- |
|  |  |  |
| Director, Office of Grants and Sponsored Programs |  | Date |

|  |  |  |
| --- | --- | --- |
|  |  |  |
| Provost and Executive Vice President for Academic Affairs |  | Date |

**III. DEFINITIONS**

**A. Immediate Family.** Immediate family includes the investigator, his/her spouse, and dependent children.

**B. Investigator.** Investigator means UNA faculty or staff members who are principal investigators or project directors, co-principal investigators, or other persons at the university responsible for the design, conduct, or reporting of research, educational, or service activities funded, or proposed for funding, by an external sponsor.

**C. Sponsored Research.** Sponsored Research means research, training and instructional projects involving funds, materials, or other compensation from external sources.

**D. Research**. Research means a systematic investigation designed to develop or contribute to knowledge.

**E. Significant Financial Interest.** Significant Financial Interest means anything of monetary value or potential monetary value including, but not limited to, salary or other payments for services (e.g. consulting fees or honoraria), equity interests (e.g. stocks, stock options, or other ownership interests), and intellectual property rights (e.g. patents, copyrights, licensing agreements, and royalties from such rights). The term does not include any of the following**:**

1) An equity interest that, when aggregated for an investigator and the investigator’s immediate family, which includes spouse and dependents as defined by the Internal Revenue Service, meets both the following tests: does not exceed $10,000 in value as determined through reference to public prices or other reasonable measures of fair market value, and does not represent more than a 5% ownership interest in any single entity. (NOTE: When the proposed project requires the use of human subjects and approval from the Institutional Review Board, these monetary thresholds do not apply. In such cases, the disclosure

threshold is any amount above $0 and any equity percentage above 0%.

2) Salary, royalties, or other payments that, when aggregated for an investigator and the investigator’s immediate family, are not expected to exceed $10,000 during the next twelve-month period.

3) Interest(s) held directly through funds such as mutual funds, pension funds, or other institutional investment

funds in which the investigator or the investigator’s family does not control the selection of investments.

4) Salary or other remuneration received from UNA; including salary received from external sources through sponsored research agreements administered by UNA;

5) Standard royalties received for published scholarly work or other professional writings;

6) Income from seminars, lectures, or teaching engagements sponsored by public entities or non-profit entities; or

7) Income from services on advisory committees or review panels for governmental entities, public or non-profit entities.