



**TO BE COMPLETED BY EACH PRINCIPAL INVESTIGATOR OR  
PROJECT DIRECTOR**

**THE UNIVERSITY OF ALABAMA**

**STATEMENT OF POTENTIAL CONFLICT OF INTEREST**

**Certification of Compliance With the Policy for Promoting Objectivity in Research by Managing, Reducing or  
Eliminating Financial Conflict of Interest**

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Department(s)/Unit: \_\_\_\_\_

Campus Telephone Number: \_\_\_\_\_ E-Mail Address: \_\_\_\_\_

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 an attached detailed and thorough written description and explanation.**

1. Do you or members of your immediate family (i.e., spouse or dependent children as defined by the Internal Revenue Service) have an equity interest (5% or more ownership and greater than \$10,000 in fair market value) in a company, enterprise or entity?

Yes \_\_\_\_\_ (If yes, attach a detailed description and explanation of the level of equity for you and all immediate family members involved)

No \_\_\_\_\_

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?

Yes \_\_\_\_\_ (If yes, attach a detailed description and explanation)

No \_\_\_\_\_

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: (check all that apply)

\_\_\_\_\_ employment or consulting arrangements with the sponsor of the research

\_\_\_\_\_ significant financial interest with or in the sponsor of the research

\_\_\_\_\_ significant financial interest with or in a subcontractor/subawardee to the grant

If your checked any statement above, please attach a detailed description and explanation)

No \_\_\_\_\_

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?

Yes \_\_\_\_\_ (If yes, attach a detailed description and explanation)

No \_\_\_\_\_

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?

Yes\_\_\_\_ (If yes, attach a detailed description and explanation or attach your UA Conflict of Interest Management Plan (STTR/SBIR and/or Standard)

No\_\_\_\_

6. If you answered yes to any question above, please describe in an attachment the involvement, if any, of human subjects in your research.

**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 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 UA policies, including these policies. I agree to comply with provisions of UA policies to immediately report changes in my financial interests. Furthermore, I agree to comply with conditions or restrictions imposed by UA to manage, reduce or eliminate actual or potential conflicts of interest.

Signature: \_\_\_\_\_  
Investigator

Date: \_\_\_\_\_

Signature: \_\_\_\_\_  
Department Chairperson

Date: \_\_\_\_\_

Signature: \_\_\_\_\_  
Dean

Date: \_\_\_\_\_

Completed Statement must be submitted to the University’s Research Compliance Officer.

Signature: \_\_\_\_\_  
Research Compliance Officer

Date: \_\_\_\_\_

Signature: \_\_\_\_\_  
Vice President for Research

Date: \_\_\_\_\_

**Upon completion, please submit to the Research Compliance Office, Office for Research, 358 Rose Administration Bldg., Box 870127.**

**Please address any questions concerning this Statement to the University Research Compliance Officer.**

### III. DEFINITIONS

- A. **Immediate Family.** Immediate family includes the investigator, his/her spouse, and dependent children.
- B. **Investigator.** Investigator means UA 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, 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, 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 UA; including salary received from external sources through sponsored research agreements administered by UA;
  - 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.