



University of South Alabama
Disclosure of Financial Conflict of Interest for
Extramurally Funded Research and Educational Activities

Disclosure of Relationships with External Entities

PROJECT TITLE _____

AGENCY _____ LOG # _____ COM # _____

For each response of "Yes," provide the name of the entity or entities in the space following the question.

1. Identification of Relationships with External Entities

1. Are you currently participating, or do you expect to participate in the next 12 months, in funded or unfunded research on a technology, process or product development related to activities for which you are entitled to receive royalties under USA's royalty-sharing policies?
 " NO " YES
2. Are you currently participating, or do you expect to participate in the next 12 months, in clinical trials or evaluation or development of a technology, process, or product owned or controlled by a business in which you have a financial interest?
 " NO " YES
3. Are you currently receiving, or do you expect to receive in the next 12 months, USA-supervised sponsored research support or gifts (whether in dollars or in kind) for research from a business in which you or a member of your immediate family ("immediate family" means your spouse and dependent children) has a financial interest, other than royalty income to which you are entitled?
 " NO " YES
4. Are you currently receiving, or do you expect to receive in the next 12 months, research support (sponsored research or gift) from a business in which you or a member of your immediate family serves on the board of directors or advisory board?
 " NO " YES
5. Do you currently hold, or do you expect to hold in the next 12 months, an executive position or serve on a governing board in business engaged in commercial or research activities related to your research or administrative responsibilities? Please attach extra pages to answer the following a - d:
 " NO " YES
 - a. Name of enterprise:
 - b. Describe your responsibilities, and how much time you expect to dedicate to them.
 - c. Does the business or organization plan to submit proposals for federal funding? If so, please describe.
 - d. Does the proposal cover research that could be performed in your facilities at USA?
6. Excluding consulting activities that conform to USA's consulting policies, do you expect that in the next 12 months, while acting in the context of your USA responsibilities, you will make professional referrals to a business in which you or a member of your family has a financial interest?
 " NO " YES
7. Are you currently taking, or do you expect to take in the next 12 months, administrative action on behalf of USA with respect to any supported research activity (sponsored research or gift) in which you or a member of your immediate family has a financial interest?
 " NO " YES

Continued

Disclosure of Relationships with External Entities

8. Are any of your trainees (including students, post-doctoral fellows and other trainees) currently assigned, or do you expect to assign any trainees in the next 12 months, to research projects related to activities for which you are entitled to receive royalties under USA's royalty-sharing policies?
" NO " YES
9. Are any trainees (including students, post-doctoral fellows, and other trainees) currently assigned, or do you expect to assign any trainees in the next 12 months, to a business in which you have a financial interest, other than royalty income or the entitlement to future royalty income under USA's royalty-sharing policies?
" NO " YES
10. Are you currently employing, or do you intent to employ within the next 12 months, any graduate students in a business in which you or a member of your immediate family has a financial interest? If so, for each student, please set forth a) the nature of the work to be performed, b) how the work relates to the student's studies or thesis, and c) the expected number of hours per month. *(Please provide a complete statement on an additional page).*
" NO " YES
11. Are there any other activities in which you may have a potential for conflict of interest that should be disclosed? *(Please provide a complete statement on an additional page.)*
" NO " YES

II. Evaluation of Financial Interest in External Entities

Use the "Financial Disclosure Worksheets" to determine whether you, according the federal policy, have a significant financial interest regarding any external entity.

III. Disclosure of Relationships with External Entities and Significant Financial Interests Related to Extramurally Funded Research and Educational Activities

Federal regulations and USA policy require investigators to disclose significant financial interests

(a) that are related to or would reasonably appear to be affected by the research or educational activities funded or proposed for funding; or

(b) in external entities whose financial interests would reasonably appear to be affected by such activities.

- List below the entities in which you have significant financial interests and attach Financial Disclosure Worksheets for each entity.
- If you answered "Yes" to any question in Part I, "Relationships with External Entities," send this form to the Office of Sponsored Programs along with documentation.
- If you wish to apply for extramural funding and you have significant financial interests related to the research or educational activities proposed for funding, this form and the Financial Disclosure Worksheets must be included with the proposal package when presented to the Office of Sponsored Programs for final review. (Please place in sealed envelope marked "Confidential Disclosure Documentation.")

Signature

" PI " Co-PI " Key Personnel

Date