

**UNIVERSITY OF SOUTH ALABAMA
FINANCIAL CONFLICT OF INTEREST
ANNUAL DISCLOSURE**

Name: _____ Title/Rank: _____

College/Unit: _____ Dept: _____

Annual Submission: Updated Submission: Date: _____

The Financial Conflict of Interest (FCOI) Annual Disclosure Form must be completed by all faculty and by staff employees who hold director and above title or rank. The FCOI Form must be submitted annually for any activity anticipated to occur during the upcoming academic year and given to the chair or immediate supervisor by September 30th.

**A. Potential Financial Conflict of Interest Generally Allowable Following Disclosure:
(FCOI Policy, Section 4.3, Categories of Employee Activities, Category B)**

*In this upcoming academic year will you have any of the following?
(If the answer to any question is yes, please complete Attachment A.)*

YES NO

- | | | |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. Will require students to purchase textbooks or related instructional materials produced or authored by you or members of your immediate family or household ¹ , which produces compensation for you or a member of your immediate family or household? |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. Will receive compensation or gratuities ² from any individual or entity doing business with the University? |
| <input type="checkbox"/> | <input type="checkbox"/> | 3. Will serve on the board of directors or scientific advisory board of a business that provides financial support for University research conducted by you or a member of your immediate family or household? |
| <input type="checkbox"/> | <input type="checkbox"/> | 4. Will serve in an executive position in a for-profit or not-for-profit business which conducts research or other activities in an area related to your University duties? |
| <input type="checkbox"/> | <input type="checkbox"/> | 5. Will have a financial interest ³ in a <i>for-profit</i> business which conducts research or other activities in an area related to your University duties? |
| <input type="checkbox"/> | <input type="checkbox"/> | 6. Will have a financial interest in a business that competes with services provided by the University? |

¹ **Family/Household:** Includes spouse, child, grandchild, parent, grandparent, sibling, niece, nephew, aunt, uncle, cousin, in-laws, and step relations, in those capacities as well as any person living in the household of the Employee. See Section 3.8 in Conflict of Commitment/Financial Conflict of Interest Policy.

² **Gratuity:** Defined as favors or gifts, food, beverages, tickets to sporting/entertainment events, transportation, lodging, and similar items or events given by any individual or entity that does business with the University. See Section 3.13 of Conflict of Commitment/Financial Conflict of Interest Policy.

³ **Financial Interest:** Examples of compensation received from external sources are provided in Section 3.5 of the Conflict of Commitment/Financial Conflict of Interest Policy.

**B. Potential Financial Conflict of Interest Generally Proscribed:
(FCOI Policy, Section 4.3, Categories of Employee Activities, Category C)**

*In this upcoming academic year will you have any of the following?
(If the answer to any question is yes, please complete Attachment B.)*

YES NO

Research Activities

- 1. Will participate in University research involving a technology owned by or contractually obligated (by license or option to license) to a business in which you or a member of your immediate family or household, has a financial interest or holds an executive position?
- 2. Will assign students, postdoctoral fellows or other trainees to University projects sponsored by a business in which you or a member of your immediate family or household has a financial interest?
- 3. Will participate in University research, clinical trials, or service agreements which are funded by grant or contract from a business in which you or a member of your immediate family or household has a financial interest?
- 4. Will accept support for University research under conditions that require research results to be held confidential, unpublished or inordinately delayed in publication without prior written approval from the Office of Technology Transfer?

Self-Dealing

- 5. Will make referrals of University business to an external business in which you or a member of your immediate family or household has a financial interest?
- 6. Will associate your own name with the University in such a way as to profit financially by trading on the reputation or goodwill of the University or gain by reason of your official position for personal gain or benefit of any other person or business entity?

C. Please check all that apply:

- 1. My research/sponsored program is funded by a PHS agency.
- 2. My research/sponsored program is funded by NSF.
- 3. My research/sponsored program work involves human subjects.
- 4. Products and/or services made and/or delivered by an outside entity in which I have financial interest are used in my research/sponsored program work.

If #4 above is true, enter name of outside entity: _____

Describe how disclosed external relationships with the reported entity does/does not relate to your USA research/sponsored program work: _____

D. Certification

I certify that I have read and understand the Policy on Financial Conflict of Interest, available on the Vice President for Research website, <http://www.southalabama.edu/vpresearch/policies.html>, affecting University employment. The information I have provided indicates all potential Financial Conflict of Interest with regard to my position at the University of South Alabama.

I acknowledge I have a continuing obligation to file an updated form for each new activity initiated during the academic year.

Signature

Date

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REVIEW BY CHAIR OR IMMEDIATE SUPERVISOR

Based on the activity reported, and to the best of my knowledge and judgment:

- a. No Financial Conflict of Interest exists.
- b. A Financial Conflict of Interest **Category B** was reported with the following action:
 - (1) Does not appear to be a Financial Conflict of Interest.
 - (2) Is a Financial Conflict of Interest but has been resolved with the Employee.
(Attach explanation)
 - (3) Is a Financial Conflict of Interest related to PHS Funding. *
 - (4) Is a Financial Conflict of Interest and has **not** been resolved with the Employee.
(See Comment Section below)
- c. A Financial Conflict of Interest **Category C** was reported with the following action:
 - (1) Approved the activity or research with specified conditions (e.g., public disclosure of financial interests, modification of the research plan or monitoring requirements).
(Attach management plan)
 - (2) Is a Financial Conflict of Interest related to PHS funding.*
 - (3) Disapproved the activity or research. *(See Comment Section below)*

Signature: _____ **Title:** _____ **Date:** _____

Comments: _____

* [Refer to Guidance for Determining if a Financial Conflict of Interest is related to PHS Sponsored Project.](#)

CONFIDENTIAL PERSONNEL RECORD

This document constitutes a confidential personnel record under state law and should be filed in the department or supervisor personnel records. It contains information relating to the above named individual's employment with the State of Alabama and is part of that individual's official personnel file. The information disclosed in this form is available only to individuals duly charged with the responsibility for review, and the information may be released only in accordance with and as required by Alabama law, federal law or lawful court order.

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