

**UTAH VALLEY UNIVERSITY**  
**RESEARCH/SPONSORED PROGRAM ASSURANCE**  
**CONFLICT OF INTEREST DISCLOSURE STATEMENT**  
Pursuant To and In Compliance with Utah Code 57-16-1

Name: \_\_\_\_\_ UVU ID#: \_\_\_\_\_

Title: \_\_\_\_\_ Award #: \_\_\_\_\_

Funding Source: \_\_\_\_\_

Each investigator shall fill out this Disclosure Form (“form”) in order to disclose any potential conflicts no later than the time when he/she is awarded outside funding from the federal or state government or private entities. The form shall be updated during the period of the award if new reportable significant financial interests are obtained. The form will be considered confidential information and will only be shared with University official on a need to know basis. In all instances, University Compliance shall maintain forms, memos reflecting conflict resolutions, and appeals determinations for a period of at least three years after the date of submission of the final expenditures report to the external entity.

The purpose of the UVU policy on Conflict of Interest (see UVU Policy #114) is to establish standards and procedures to be followed by UVU to identify, manage, reduce or eliminate any conflicts of the investigator(s) or project director(s) responsible for the research or project which could directly and significantly affect the design, conduct, or reporting of the externally-funded research or project. The definitions below shall be followed in completing this form.

1. *Investigator* means the principal investigator, co-principal investigators, and any other person involved in the research who is substantively responsible for the design, conduct, or reporting of research or educational activities funded or proposed for funding by an external entity.
2. *Administrator* means the direct supervisor of the investigator, which may include the Department Chairperson, Dean of the School, Sr. Vice President, etc.
3. *Research* means a systematic investigation designed to develop or contribute to generalizable knowledge in any academic discipline. The term also encompasses all studies conducted at the University, including basic and applied research and product development.
4. *Significant financial interest* means anything of monetary value, including, but not limited to salary or other payments for services (e.g., consulting fees or honoraria), equity interest (e.g., stocks, stock options or other ownership interest), and intellectual property rights (e.g., patents, copyrights and royalties from such rights).

The term does not include:

- Salary, royalties or other remuneration from the University;
  - Income from seminars, lectures or teaching engagements sponsored by public or nonprofit entities;
  - Income from service on advisory committees or review panels for public or nonprofit entities;
  - An equity interest that, when aggregated for the investigator and the investigator's spouse and dependent children, 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;
  - Salary, royalties or other payments that, when aggregate for the investigator and the investigator's spouse and dependent children, are not expected to exceed \$10,000 during the next twelve month period.
5. *Any entity related to the proposed sponsored project* includes the following non-UVU business or individuals: suppliers of equipment, materials, or services related to the research; business commercializing a product that the research is intended to evaluate or further develop; or party whose financial interests would seem to be directly and significantly affected by the research.

### **Assurance Statement**

Information pertinent to Utah Valley University's (UVU's) policies regarding Conflict of Interest are found in the following documents:

UVU Policy 114 Conflict of Interest

UVU Policy 136 Intellectual Property

UVU Policy 323 Guidelines for Consulting

UVU Policy 635 Academic Freedom, Professional Rights, and Responsibilities

Utah Code 67-16-1

Title 42 CFR 50.601

Faculty and academic researchers are required to assure their compliance with these policies. To do this, please answer the questions below.

If you have any questions or are unsure about how to respond to any of the items below, you should discuss your concerns with your direct supervisor or UVU's Compliance Officer.

### **Screening Questions**

1. Do you, your spouse, or any of your family have any involvement or financial interest that is, or could be perceived to be, in conflict with the discharge of your duties at the university?  
 YES       NO
2. Do you spend beyond two days per month or 24 days per year on external professional or commercial activities (e.g., external consulting, intellectual property development, or sponsored projects that you re performing for a commercial purpose) during periods of university obligation?

- YES       NO
3. Do you have a significant financial interest or serve as a director or officer in a commercial organization that is directly related to your research interest (or is affected by your research) or directly related to a business decision you are participating in involving university or sponsored funds? For this purpose “significant financial interest” means an interest which annually exceeds \$10,000 in value (such as salary, consulting fees, honoraria, fees for seminars, lectures, or teaching engagements, royalties or intellectual property rights) or an ownership interest (including stocks, stock option or warrants) in the firm which exceeds 5% when aggregated with the interest of your spouse and dependent children?  
 YES       NO
4. In university courses you teach or for which you have direct responsibility, do you require the use of a textbook or course materials which you have authored or compiled, and from which you receive a royalty or other sales proceeds?  
 YES       NO
5. Do you use or propose to use university facilities or personnel to conduct research, testing, or work for your outside interests excluding university-administered sponsored projects? (For purposes of this assurance, you may check “no” if your only non-university use of university facilities is of an incidental nature.)  
 YES       NO
6. Do you consult, otherwise work for, or have a significant financial interest in any commercial funding source that also sponsors research at the university for which you have responsibility for designing, conducting or reporting of the research, or with which are otherwise involved?  
 YES       NO
7. Have you, or has your program, received gifts of \$50 or more (cumulative over the year) from any commercial entity in which you have a significant financial interest, or whose business is directly related to your research interest?  
 YES       NO
8. Do you supervise students in any research effort that is directly related to your outside financial interest (e.g., external consulting, intellectual property development, equity or stock option, or sponsored project that you are doing for a commercial purpose)?  
 YES       NO
9. Are there any non-faculty staff on your project, including students and technicians, who are funded by a commercial sponsor in which either your or they have a significant financial interest and who are also responsible for the design, conduct, or reporting of research activities?  
 YES       NO
10. Please provide the names of any personnel for whom you answered “yes” on question 8 and/or 9 above.

---

---

---

---

**Assurance Options**

I have answered truthfully and fully and to the best of my ability. I agree to update this Disclosure Form upon any relevant changes in my circumstances.

Sign below and return this form to University Compliance.

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

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

Email Address: \_\_\_\_\_

Department/Division: \_\_\_\_\_

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

NOTE: If your answer to any of the questions changes during the next year, you are responsible for modifying your assurance of compliance and submitting the necessary disclosure form.

If you answered “**Yes**” to one or more questions, sign below, return this form to your immediate supervisor for development of a proposed management plan. In turn, your supervisor will forward the form and the draft management plan to University Compliance. You and your supervisor will be contacted by the Compliance Officer for more information.

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

Printed Name: \_\_\_\_\_ UVU ID#: \_\_\_\_\_

Email Address: \_\_\_\_\_

Department/Division: \_\_\_\_\_

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