

**Investigator's Disclosure Statement of External Interests
Under the University of Georgia Policy on
Conflicts of Interest**

Definitions of terms used in Part B can be found at the end of Part B.

Each *Investigator* who applies for instruction, research, or service support from external agencies must disclose to the University all *Significant Financial Interests* (i) that would reasonably appear to be affected by the instructional, research or service activities funded or proposed for funding; or (ii) in entities where those financial interests would reasonably appear to be affected by such activities. The disclosure must be updated annually throughout the period of the award and as new reportable *Significant Financial Interests* are incurred. This disclosure will enable the University to determine if outside interests and activities create a conflict of interest, and it is required by the University of Georgia Conflicts of Interest Policy.

Part A

Part A of this Appendix is included on page 2 of the Sponsored Programs Proposal Transmittal Form. Filling out this section of the Proposal Transmittal Form is mandatory for all proposals submitted to external funders and applies to all Principal Investigators and other key project personnel. Only if an individual checks “yes” in response to the question raised in Part A regarding a financial conflict of interest will the individual will be required to complete the more detailed Part B of this Disclosure so that thorough review of the disclosed conflict of interest can be completed before a project award is accepted and funds expended.

Part B

**THIS DETAILED DISCLOSURE IS
TO BE RETAINED BY DEPARTMENT HEAD/UNIT DIRECTOR/DEAN**

| |
|---------------------------------------|
| Name (print): _____ |
| Department/Unit: _____ College: _____ |
| Proposal title: _____ |
| Agency: _____ |

Please provide a list of all external entities with which *You* have a *Significant Financial Interest* which could affect or be affected by the activity proposed to be funded.

Please duplicate this sheet, if necessary, and provide the following information for each external entity identified above.

1. Business name, nature of business, business address, and whether publicly traded.

2. Person who has *Significant Financial Interest*
Self _____ Spouse _____ Dependent child _____

3. Nature of *Significant Financial Interest*. (check all that apply)
 - a) equity interest
 - b) consulting or employment
 - c) director, officer, partner, agent, managerial or advisory position
 - d) receipt of loan or gift
 - e) receipt of honoraria for papers, lectures
 - f) receipt of royalty revenue
 - g) other (please specify)

4. List the Officers and Board members of the business entity. Indicate whether any are UGA employees. Indicate whether any are serving as personnel or collaborators on the research activity (or activities) identified on page 1

5. Describe fully the activities/business pursued by the business entity.

6. Describe your financial interest (percentage of stock ownership, value of ownership of assets, option agreement for stock ownership, sole proprietorship, partnership, etc.) in this business entity. This disclosure should include the financial interests of your spouse or dependents.

7. What is your (or spouse's/dependent's) position with the entity? If an officer, state the office you (spouse/dependents) hold.

8. Do you have a current consulting agreement with the entity? Does it address ownership of intellectual property and/or publications? If yes to either question, attach a copy of the consulting agreement to this form. Has the agreement been approved by your dean/department head/director?

9. Describe fully the duties you will perform for the business entity. Describe precisely and clearly how these duties differ from your university duties and responsibilities.

10. How many hours per week are to be spent performing activities on behalf of the business entity? (Note: hours spent performing research which may be sponsored by entity are not ~~on~~ behalf of the business entity@)

11. List all other University employees or students who own an interest in, are employed by, or otherwise have a contractual relationship with the business entity. Describe their role/relationship with the company.

12. Describe all contemplated transactions between the University and/or the University of Georgia Research Foundation, Inc. (UGARF) and the business entity (e.g. license agreement, research agreement).

13. List all university employees and students who will be working on the research to be performed under the research agreement. Do you supervise any of these employees and students? If yes, have you clearly informed the employees and students that your supervision of them and the research you are performing is on behalf of the University and not the company?

14. Are there any publication restrictions imposed by the business entity on you or any employee or student of the University? If yes, what is the nature of the restriction?

15. Will you be the principal investigator or co-principal investigator on the research project? If yes, describe how you propose to mitigate or resolve the potential or actual conflict of interest and to ensure the objectivity of research results.

Signature: _____ Date: _____

Definitions

Investigator: the principal investigator, co-principal investigators, and any other key personnel at The University of Georgia responsible for the design, conduct, or reporting of instructional, research, or service activities funded or proposed for funding by external agencies.

You: you, your spouse and dependent children.

Significant Financial Interest: anything of 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:

- a) Salary, royalties or other remuneration from The University of Georgia; or
- b) Any ownership interests in the institution, if the institution is an applicant under the Small Business Innovation Research Program or Small Business Technology Transfer Program; or
- c) Income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities; or
- d) Income from service on advisory committees or review panels for public or nonprofit entities; or
- e) 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.
- g) Salary, royalties or other payments that, when aggregated for the Investigator and the Investigator's spouse and dependent children, are not expected to exceed \$10,000 during the next twelve-month period.

Please note that all consulting agreements, independent of their financial value, require prior approval from the Department/Unit Head and/or Dean.