

**UNIVERSITY OF CENTRAL FLORIDA
POTENTIAL OUTSIDE ACTIVITY, EMPLOYMENT, AND CONFLICT OF INTEREST
AND COMMITMENT REPORT
FOR A&P, USPS and/or OPS EMPLOYEES assigned to and/or supporting Sponsored Programs Activities**

[If you have more than one activity for each question, you will need to complete a [separate disclosure](#) for each activity]

<p>Employee: _____</p> <p>Employee Type:</p> <p><input type="checkbox"/> A&P Employee</p> <p><input type="checkbox"/> USPS</p> <p><input type="checkbox"/> OPS Administrative Staff</p> <p><input type="checkbox"/> OPS Research Faculty</p> <p><input type="checkbox"/> Graduate Student</p> <p>Unit: _____</p>	<p>Select type of Disclosure:</p> <p><input type="checkbox"/> New Annual Disclosure <input type="checkbox"/> Amendment to Disclosure</p> <p>If Amendment to Disclosure, what is the date of the approval of original Disclosure: _____</p> <p>Reporting Period: From: _____ To: _____</p>
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Purpose:

This Potential Conflict of Interest Disclosure form applies to university A&P, USPS and OPS employees and Graduate Students directly assigned to and/or administratively supporting sponsored project and related activity. The purpose of this disclosure statement is to ensure that no unresolved conflict exists between employees or Graduate Students (as defined above) primary university commitments and their outside activities, interests, and commitments. This statement conforms with Florida Statutes; policies of the Board of Governors (BOG) and the University of Central Florida (UCF); and current federal guidelines requiring disclosure for professional activities. This statement also establishes specific facts to help supervisors determine whether a potential conflict exists so that they may manage, reduce, or eliminate the potential conflict.

Procedure:

This form must be completed at least annually, regardless of whether or not the employee or Graduate Student (as defined above) has any outside activities, interests, or commitments to report. A new disclosure form must also be submitted at any subsequent point during the reporting period that it becomes necessary to disclose any new or anticipated outside activity, interest, or commitment that has occurred or is expected to occur during that reporting period.

Timely and complete disclosure of outside activities and potential conflicts of interest and commitment protects you from suspicion and accusations of breach of scientific integrity.

Information on policies, regulations, and requirements is available on the UCF's Office of Compliance website (<http://www.coi.ucf.edu>).

NOTE: For each question answered "Yes", all sub-questions that appear are required and must be answered. Multiple responses may be submitted to each question. Use additional pages (if necessary) to complete your disclosure statement.

[Refer to Page 8 for a description of most relevant definitions and criteria applicable to the content of this form]

I. Sponsored Research

Questions 1, 2 & 3 apply to employees and Graduate Students who are or will be participating in sponsored research & training activities/awarded projects during the current reporting period. Please answer "No" if you are not or do not expect to participate on an awarded sponsored research & training project during the current reporting period. [For information on the criteria applicable to questions 1, 2 & 3, please refer to Page 8].

1. During the current reporting period will you or members of your Immediate Family expect to receive a combined remuneration from a single source in the amount of \$10,000 or more for research & development services related to, or conducted by you separate from the university? For this question only you do not need to include income from seminars, lectures or teaching engagements sponsored by public or non-profit entities; or income from service on advisory committees or review panels for public or non-profit entities

Yes No

(if "No", proceed to the next question)

- Entity name (Source of remuneration): _____
- Party receiving the remuneration: Self, or Immediate Family member Both
If "Immediate Family member", please identify family relationship: _____
- Do you hold a managerial position on this entity? Yes No
If "Yes", please select the position that best describe your position:
 - Board Member
 - Partner
 - Director
 - Officer
 - Other (provide details): _____
- Specify the anticipated time commitment to the activity:
hours: _____ Hours are: Per Week Per Month Per Year
- Has or will the entity sponsor research in which you are engaged in at the university?
 Yes No
If "Yes", please identify the UCF Project No.(s): _____ ; _____ ; _____ ; _____
- Has or will the entity execute a license agreement to use your intellectual property?
 Yes No
If "Yes", please identify the license agreement(s) : _____
- Is your Academic Advisor engaged with this entity?
 Yes No
If "Yes", please describe: _____
- Is the remuneration for clinical research & development services from the sponsor of a covered clinical study?:
 Yes No
If "Yes", is or will the amount of remuneration exceed \$25,000?
 Yes No
- Describe your legal or employment relationship to the entity: _____

2. During the current reporting period will you or members of your Immediate Family, in aggregate, have or expect to receive more than 5% ownership interest (equity) in any single entity for research & development services related to, or conducted by you separate from the university?

Yes No

(if "No", proceed to the next question)

If "Yes", please provide the following information:

- Entity name: _____
- Describe the equity interest: _____

- Party with equity interest: Self Immediate Family member Both

If "Immediate Family member", please identify family relationship: _____

Do you hold a managerial position on this entity? Yes No

If "Yes", please select the position that best describe your position:

- Board Member
- Partner
- Director
- Officer
- Other (provide details): _____

- Specify the anticipated time commitment to the activity:
hours: _____ Hours are: Per Week Per Month Per Year
- Has or will the entity sponsor research in which you are engaged in at the university?
 Yes No
If "Yes", please identify the UCF Project No(s): _____; _____; _____: _____
- Has or will the entity execute a license agreement to use your intellectual property?
 Yes No
If "Yes", please identify the license agreement(s) : _____
- Is your Academic Advisor engaged with this entity?
 Yes No
If "Yes", please describe: _____
- Is the equity interest in the sponsor of a covered clinical study?
 Yes No
If "Yes", did or will the value of the equity interest exceed \$50,000?
 Yes No
- What is the equity interest percentage? _____%

3. During the current reporting period will you or members of your immediate family receive more than \$10,000 from advanced payments and/or other compensation from a single entity, separate from the university, for intellectual property rights (patents, copyrights, trademarks) related to research & development activity in which you are engaged at the university? You do not need to include royalties or compensation received from the UCF - Research Foundation, and/or from intellectual property made by you while a UCF employee outside your field or discipline in which you are employed, and/or for which no University support has been used (independent efforts).

Yes No

(if "No", proceed to the next question)

If "Yes", please provide the following information:

- Identify the type of IP (e.g. patent, copyright, trademark): _____
- Party developing or who owns IP: Self Immediate Family member Both
- Short description of the property: _____

II. Use of UCF Students, Personnel, or Other University Resources in Outside Activities (e.g., equipment, facilities, supplies)

4. During the current reporting period do you intend to use the services of UCF personnel in carrying out any outside activity?

Yes No

(if "No", proceed to the next question)

If "Yes", there is a conflict of interest. You must disclose the following information and work with your supervisor and other appropriate university officials to manage or eliminate the conflict. Please complete the information:

- Name of UCF personnel: (first & last name):
 - (a) First: _____ Last: _____ Unit: _____
 - (b) First: _____ Last: _____ Unit: _____
 - (c) First: _____ Last: _____ Unit: _____
- Describe your employment role with respect to the UCF personnel listed above:

- Describe your current or proposed use of the UCF personnel in your outside activities:

- Specify the anticipated UCF Personnel time commitment for the outside activity (information should correlate to the name listed under letter (a-c) above):
 - (a) # hours: _____ Hours are: Per Week Per Month Per Year
 - (b) # hours: _____ Hours are: Per Week Per Month Per Year
 - (c) # hours: _____ Hours are: Per Week Per Month Per Year

5. During the current reporting period do you intend to use other UCF resources (e.g., equipment, facilities, supplies) or services (including information technology resources) in carrying out any outside activity? You do not need to report incidental use of such resources. [For information on definitions and the criteria applicable to this question, please refer to Page 8].

Yes No

(if "No", proceed to the next question)

If "Yes", please provide the following information:

- Department/Unit providing the resources of service: _____
- Identify the type of UCF resource or service: _____

- If applicable, please identify the location of the resource: _____
- Specific location of lab: _____
- Building facility: _____
- Room number : _____
- Describe your anticipated use of the UCF resource or service:

- Describe the anticipated frequency of use: _____

- Specify the anticipated duration of use: **From:** _____ **To:** _____

III. Other Activities, Interests and Commitments

6. During the current reporting period will you hold or do you expect to run for political office?

Yes No

(if "No", proceed to the next question)

If "Yes", identify political office held or sought, as applicable:

- Describe the nature of the political activity: _____

- Specify anticipated time commitment to the activity: _____
- Describe campaigning activities (if applicable): _____

Not applicable]

IV. Florida State Conflict of Interest Standards of Conduct

Florida State conflict of interest statutes (FS 112.311) requires that no employee shall have any interest, financial or otherwise, direct or indirect; engage in any business transaction or professional activity; or incur any obligation of any nature which is in substantial conflict with the proper discharge of his or her duties in the public interest. In concert with the Florida Statute, please answer the following Standards of Conduct (FS 112.313) question:

7. During the current reporting period do you intend, as a UCF employee, to authorize business transactions (commit university resources) with an entity in which you or your Immediate Family are an officer, partner, or proprietor of the entity, have a material interest (director or indirect ownership) of more than 5% of the total assets or capital stock of any business entity, and/or hold any employment or contractual relationship with the entity?. You must report proposed subcontract SBIR/STTR sponsored funding activity to the university from any entity owned or managed by you and/or your Immediate Family members.

Yes No

(if "No", proceed to the next question)

If "Yes", please provide the following information:

• Entity name: _____

• Is the entity sponsoring research in which you are engaged at the university? Yes No

If "Yes", please provide the UCF Project No(s): _____ ; _____ ; _____

• Does the entity have intellectual property rights? Yes No

If "Yes", please identify the UCF License agreement: _____

• Are you or your Immediate Family an Officer, Partner, Director or Proprietor of the entity?

Yes No

If "Yes", please select the position held:

_____ Self : Board Member Partner Director Officer
 Other (provide details): _____

Immediate Family member : Board Member Partner Director Officer
 Other (provide details): _____

If "Immediate Family member" describe family member relationship: _____

• Do you or your Immediate Family have a Material Interest (*direct or indirect ownership of more than 5% of the total assets or capital stock of any business entity*): Yes No

If "Yes" select Party: Self Immediate Family member Both

If "Immediate Family member", describe family member relationship: _____

• Do you or your Immediate Family hold any employment or contractual relationship with the entity?:

Yes No

If "Yes", describe the contractual relationship: _____

• Party: self, or Immediate Family member

If "Immediate Family member" describe family member relationship: _____

In accordance with FS 112.313(12)(a) - (j) exemptions, are you exempt?: Yes No

If "Yes", specify exemption: _____

If "No", submit your request for exemption in accordance with Florida Statutes 112.311-313, Title 42, CFR, Part 50.604.

8. During the current reporting period do you intend to hold any employment or contractual relationship and/or engage in other activities, not previously reported on this form, in excess of your assigned research, and/or service responsibilities (e.g., serving as a Director and/or Board member, Officer, Partner, Agent or in any managerial position with an entity external to the university).

You do not need to report work completed for professional discipline-related associations (e.g., serving as an officer of your academic discipline's national association; a journal editor; or on a national peer review committee; or other activity related to your UCF assigned duties.

Yes No

If "Yes", please provide the following information:

• Entity Name:(Please provide the name of the entity/employer, if applicable): _____

- Please describe the activity: _____

- Please specify the anticipated time commitment to the activity:
hours: _____ Hours are: per week per month per year

Is this a compensated activity?: Yes No

- Please provide the Start date and End date for such commitment:
Start date: _____ End date: _____

Certification:

I certify that the outside employer or recipient of services understands that I am engaging in such outside activity as a private citizen, not as an employee, agent, or spokesperson of the university. I further certify that the statements and disclosures provided herein are current, accurate, and complete, and understand that any false or misleading representations may result in disciplinary action and/or termination of my employment.

Signature

Print Name: _____ **Date:** _____

Contact information:

Telephone: _____ **E-mail:** _____

[Please forward this form to your immediate supervisor to initiate its internal review process](#)

DEFINITIONS AND CRITERIA

Federal Conflict of Interest

A potential conflict of interest exists when a faculty member's Significant Financial Interest (anything of monetary value including salary, equity interests, and/or intellectual property rights) could directly and significantly affect the design, conduct or reporting of the research. (See National Institutes of Health Responsibility of Applicants for Promoting Objectivity in Research 42 CFR, Part 50.602, Part 50.603, and Part 50.604, National Science Foundation Proposal & Award Policies and Procedures Guide, Part II, Chapter IV. A., Grantee Standards, and U.S. Food and Drug Administration Financial Disclosure by Clinical Investigators 21 CFR, Part 54.1-3, and Part 54.4-6). Under sponsored federal programs the potential conflict is between the investigator's personal financial interests and their ability to perform objective research.

Florida State Conflict of Interest -Criteria

State of Florida statutes (112.311) requires that no employee shall have any interest, financial or otherwise, direct or indirect; engage in any business transaction or professional activity; or incur any obligation of any nature which is in substantial conflict with the proper discharge of his or her duties in the public interest.

Florida State Standards of Conduct (FL. Statute 112.313)

The State of Florida outlines standards of conduct for public officers and employees. Three of the standards apply to outside activity that may create a conflict of interest. To assist with your review the three standards have been summarized within the context of university employment.

1. **Doing business with the university** (FL. Statute 112.313(3))

A university employee cannot purchase goods or services from any entity of which the employee (or employee's immediate family) has an equity position and/or serves as an officer, director or other managerial position. A university employee cannot sell goods and services to the university from an entity in which the employee (or employee's immediate family) has an equity position and/or serves as an officer, director or other managerial position.

2. **Unauthorized Compensation** (FL. Statute 112.313(4))

A university employee (or employee's immediate family) cannot accept any compensation, payment or thing of value, when the employee knows or with the exercise of reasonable care, should know, that it (compensation, payment or thing of value) was given to influence the employee's actions in his or her employment capacity.

3. **Conflicting Employment or Contractual Relationship** (FL. Statute 112.313(7))

A university employee cannot hold any employment or contractual relationship with a business entity that sells or purchases goods or services from the university. Under Florida State statute the potential conflict is between the faculty member's private financial interests and their public responsibilities to the State.

Criteria for Questions # 1, # 2 & # 3.

Under sponsored federal programs, the potential conflict is between the employee's personal financial interests and their ability to perform objective research.

Criteria for Question # 5.

Among others:

- (a) Using your computer to write a non-academic book.
- (b) Using UCF facilities to engage in activities in which you are privately compensated

Conflict of Commitment: An employee's devotion of time to external activities that adversely affects his or her capacity to meet his or her primary university responsibilities. Examples may include, but are not limited to outside employment, *pro bono* work, and government service in the public interest.

Outside Activity or Employment: Any private practice, private consulting, additional teaching or research, or other activity, whether compensated or uncompensated, which is not part of the employee's assigned duties at the university and for which the university provides no compensation.

Immediate Family: For purposes of outside activity and potential conflict of interest and commitment reporting, Immediate Family shall refer to the faculty member's spouse and dependent children.

Incidental use: Refers to the use of university resources (e.g., equipment, facilities, supplies) that causes no more than normal depreciation of the resource and does not result in added expenses accruing to the university.

TO BE COMPLETED BY REVIEWERS ONLY

Reviewer # 1:

Date: _____

- No conflict
- Conflict identified: Exemption/Monitoring Plan required
- Unapproved conflict

Comment(s):

Signature: _____

Print name: _____

Title: _____

Tel: _____

Reviewer # 2:

Date: _____

- No conflict
- Conflict identified: Exemption/Monitoring Plan required
- Unapproved conflict

Comment(s):

Signature: _____

Print name: _____

Title: _____

Tel: _____

ORC/COI Regulatory Review

Date: _____

- No conflict
- Conflict identified: Exemption/Monitoring Plan required
- Unapproved conflict

Comment(s):

Signature: _____

Print name: _____

Title: _____

Tel: _____