**Appendix D: Disclosure of Potential Conflict of Interest and/or Conflict of Commitment**

**University of Arkansas**

Under Fayetteville Policies and Procedures 404.0, it is the campus policy of the University of Arkansas (UA) that its officers, faculty, staff and others acting on UA’s behalf have the obligation to avoid ethical, legal, financial and other conflicts of interest and conflicts of commitment with their obligation to the University or its welfare. To help ensure compliance with the policy, **all faculty and staff** must complete the following statement of disclosure of any relationships or activities which might give rise to conflicts, or the appearance thereof, with their duties, responsibilities, or obligations to the University. This is also intended to assist UA in complying with disclosure requirements associated with federal funding and with federal export control requirements.

Situations requiring disclosure include, but are not limited to:

- any outside employment, including consulting, compensated - significant financial interests

 speaking engagements or creative activities, or service as an - paid or unpaid service to a foreign

 officer, manager, director, or shareholder/owner entity

- use of own instructor-prepared textbooks in courses - any research funded by a foreign

- collaborations with non-U.S. persons/entities\* entity

- appointments with other institutions whether - any participation in a foreign talent

 foreign or domestic (including teaching recruitment program

 or research)

\* for the definition of a U.S. person, [click here](https://www.bis.doc.gov/index.php/documents/regulations-docs/2344-part-772-definitions-of-terms-2/file#page=43)

**All faculty and staff (both classified and non-classified) are required to complete this form i) within two weeks of hire; ii) annually; and iii) within 30 days whenever a new or potential conflict is identified. Do not wait until the next annual reporting period to disclose any newly identified conflicts.**

[ ] I have read the campus policy on conflict of interest and commitment, and I disclose the attached explanation of the nature of each potential conflict of interest/commitment or appearance thereof.

[ ]  I have read the campus policy on conflict of interest and commitment, and I have no conflicts to disclose.

Note: The information provided to the University may be subject to public disclosure. To request that specific information be reviewed to determine if it is eligible for exemption, attach all information required by Section 11.3 of the campus conflict of interest policy (Fayetteville Policies and Procedures 404.0). **In signing this form, the employee** **acknowledges that all information not determined to be exempt may be released by UA upon public request, without further notice**.

Name (print or type):

Title or Position:

Workday ID#: Note: This is a seven-digit number; it is not the number on your UARK ID Card.

Department or Unit:

**Please answer ALL questions below:**

Are you engaged in any outside employment? Note that all full-time (30 hours or more) 9-month and 12-month faculty and non-classified staff **must obtain prior approval for all outside employment.** Note: this requirement includes outside employment for all covered employees during University breaks and holidays. **Summer employment for 9-month faculty must be disclosed in advance** through this Conflict of Interest disclosure process if the summer employment 1) involves teaching, research/creative activity, or otherwise engaging in an appointment with another institution; 2) pertains to University Research as defined under [Board of Trustees Policy 210.1](https://www.uasys.edu/board-policy/210-1/); 3) otherwise relates to your expertise or responsibilities as a University of Arkansas employee; or 4) involves compensation by a foreign entity.  ***Provost approval is required for all full-time UA faculty engaging in teaching, conducting research, or accepting any other appointment at another institution.***

1. Are you planning to conduct research/creative activity, teach a course, or provide compensated services at another institution? Note that all full-time faculty must have prior approval by the Provost for teaching or any other appointment at another institution, other than a courtesy adjunct appointment to serve on a dissertation committee. For summer appointments for 9-month faculty, see above.

Choose an item.

1. Do you serve as an officer, manager, or director in a company or other entity, or have a fiduciary role with such an entity? Note that a conflict management plan may be required.

Choose an item.

1. Are you planning to give an invited talk or lecture for which you will receive an honorarium or other form of compensation, not including reimbursement of direct travel costs?

Choose an item.

1. Are you being reimbursed for external travel in excess of $5000 (in aggregate) from a single, nonexempt sponsor in a calendar year (January 1 – December 31)? (see Appendix F – [Disclosure of Externally Reimbursed Travel](https://vcfa.uark.edu/fayetteville-policies-procedures/vprs/4040-appendix-f.pdf)).

Choose an item.

1. Do you have any ownership or financial interest in an entity that seeks to do business with the University or any affiliated or supporting entity, including UA-related foundations and the Alumni Association?

Choose an item.

1. Do you receive direct or indirect financial benefit from the sale of course materials (textbooks, software, etc.) or other goods or services to students whom you teach or evaluate? *Note that if you check yes, you must describe the disposition of payments, revenues, or royalties from the sale of these materials. These must be paid to a unit not directly related to or associated with the faculty member. See* [Academic Policy Series 1550.30](https://provost.uark.edu/policies/155030.php).

Choose an item.

1. Do you have any other [significant financial interests](https://vcfa.uark.edu/fayetteville-policies-procedures/vprs/4040.php) that reasonably appear related to your institutional responsibilities, as defined in the

[Conflict of Interest/Commitment Policy?](https://vcfa.uark.edu/fayetteville-policies-procedures/vprs/4040.php)

*For researchers conducting Public Health Service-funded research, the approximate value of significant financial interests must be furnished (dollar ranges are permissible: $0–$4,999; $5,000–$9,999; $10,000–$19,999; amounts between $20,000–$100,000 by increments of $20,000; amounts above $100,000 by increments of $50,000), or a statement that the interest is one whose value cannot be readily determined through reference to public prices or other reasonable measures of fair market value. For others, valuation information may be requested as necessary to assess matters related to any potential conflict of interest or commitment or University compliance obligations.* Note that a conflict management plan may be required.

Choose an item.

* 1. a. If yes, and if you are a PI or co-PI, have you disclosed such conflicts to federal sponsors?

Choose an item.

1. Do you or any entity that you are affiliated with receive any research funding or financial/in-kind support from any non-U.S. person or entity?

Choose an item.

* 1. If yes, and if you are a PI or co-PI, have you disclosed such support to federal sponsors?

Choose an item.

1. Do you have an appointment with a foreign institution and/or participate in any foreign talent recruitment programs?

Choose an item.

1. Do you have any other circumstances that present an actual or potential conflict of interest or commitment or the appearance thereof (e.g. consensual relationships; organizational obligations; consulting; supervising or contracting with family members, etc.)?

Choose an item.

If you answered yes to any of the above questions, please provide as much detail as possible in the space below, including steps taken to mitigate any conflict(s). You may attach additional pages and documentation as needed.

**In signing this form, I certify that all information furnished is true, accurate, and complete.**

**Signature:** Click or tap here to enter text. **Date:** Choose a building block.

**Administrative Review** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

*Department Chair or Unit Head*

[ ]  No conflict exists [ ]  Conflict exists, acceptable management [ ]  Unallowable conflict

 plan in place or proposed

[ ]  Further review or conditions required (specify): Choose a building block.

Name of Department Chair or Unit Head: Choose a building block.

Signature: Choose a building block. Date: Choose a building block.

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*Dean or Unit Head Supervisor*

[ ]  No conflict exists [ ]  Conflict exists, acceptable management [ ]  Unallowable conflict

 plan in place or proposed

🞏 Further review or conditions required (specify): Choose a building block.

Name of Dean or Unit Head Supervisor: Choose a building block.

Signature: Choose a building block. Date: Choose a building block.

[ ]  Possible Intellectual Property Issue – Request VCED Review

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*Vice Chancellor for Economic Development, if referred due to intellectual property concerns:*

[ ]  No conflict exists [ ]  Conflict exists, acceptable management [ ]  Unallowable conflict in place or proposed

[ ]  Further review or conditions required (specify): Choose a building block.

Name of Vice Chancellor for Economic Development (or designee): Choose a building block.

Signature: Choose a building block. Date: Choose a building block.

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*Vice Chancellor for Research and Innovation*

[ ]  No conflict exists [ ]  Conflict exists, acceptable management [ ]  Unallowable conflict in place or proposed

[ ]  Further review or conditions required (specify):

Name of Vice Chancellor for Research and Innovation (or designee): Choose a building block.

Signature: Choose a building block. Date: Choose a building block.

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***Provost* (Required for all full-time faculty teaching, conducting research/creative activity, or otherwise appointed at another institution).**

 [ ]  No conflict exists [ ]  Conflict exists, acceptable management [ ]  Unallowable conflict

 plan in place or proposed

[ ]  Further review or conditions required (specify): Choose a building block.

Name of Provost (or designee): Choose a building block.

Signature: Choose a building block. Date: Choose a building block.

* **Disclosure and management plan, as applicable, may be reviewed by the Conflict of Interest/Commitment Review Committee**
* **Upon final signature, a copy of this disclosure will be provided to the employee, Chair or Unit Head, Dean or Unit Head Supervisor, and Research Compliance. As appropriate copies will also be provided to VCED and the Provost.**
* **Record maintained in the Office of Research Compliance**

Updated 9/14/2020