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| **SUBRECIPIENT / COLLABORATOR DISCLOSURE FORM** | |
| **NAME:** |  |
| **DATE:** |  |
| **ORGANIZATION (if unaffiliated,**  **such as a consultant, enter N/A):** |  |
| **PHONE & EMAIL:** |  |

### If you have been identified as an “Investigator” on a subrecipient agreement and/or human subject (IRB) or animal research (IACUC) protocol with UT Arlington (either as an individual/consultant or as part of an organization) and you have a Significant Financial Interest (SFI) to disclose in accordance with [UT Arlington’s Conflict of Interest Policy](https://www.uta.edu/ra/real/oric/UTA%20Research%20COI%20Policy%20.docx) and the procedures documented [here,](https://resources.uta.edu/research/regulatory-services/conflict-of-interest/conflict-of-interest-process-for-phs-subrecipients-and-collaborators.php) please provide information as prompted below and submit this disclosure form to: Trang Dinh, Regulatory Services Specialist, at [regulatoryservices@uta.edu.](mailto:regulatoryservices@uta.edu) For **Bolded** words below, refer to the DEFINITIONS attached to the end of this form for further explanation.

**REPORTABLE SIGNIFICANT FINANCIAL INTERESTS**

### Subrecipient / Collaborator Investigators (including Covered Family Members) must submit a written report to UT Arlington of any of the following Significant Financial Interests 1 - 4 (SFIs):

1. **Remuneration or Equity Interest in a Publicly Traded Entity** in which the value of Remuneration received from the entity in the preceding 12 months and the value of any Equity Interest in the entity as of the current date exceeds $5,000 **when aggregated, AND it reasonably appears to be related** to the Investigator’s responsibilities under the established work agreement/research with UT Arlington;
2. **Remuneration or Equity Interest in a Non-Publicly Traded Entity** in which the value of Remuneration received from the entity in the preceding 12 months exceeds **$5,000**, or when the Investigator holds **any** Equity Interest, **AND it reasonably appears to be related** to the Investigator’s responsibilities under the established work agreement/research with UT Arlington;
3. **Intellectual Property** upon receipt of income related to the IP **AND it reasonably appears to be related** to the Investigator’s responsibilities under the established work agreement/research with UT Arlington;
4. **Reimbursed or Sponsored Travel** that is **NOT EXCLUDED** by any of the SFI EXCLUSIONS described below (see last bullet point) **AND it reasonably appears to be related** to the Investigator’s responsibilities under the established work agreement/research with UT Arlington;

### Travel not meeting the exceptions in part (5) above, but is valued at less than $5,000 per entity that reimburses or sponsors the travel.

**SFI EXCLUSIONS** - Please note that the following items are **NOT** considered SFIs and are not required to be reported to UT Arlington:

1. Salary paid by UT Arlington to the Investigator if the Investigator is currently employed or otherwise appointed by the Institution;
2. Income from investment vehicles, such as mutual funds and retirement accounts, as long as the Investigator does not directly control the investment decisions made in these vehicles;
3. Income from seminars, lectures, or teaching engagements sponsored by a Federal, state, or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education;
4. Income from service on advisory committees or review panels for a Federal, state, or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education;
5. Travel that is reimbursed or sponsored by a Federal, state, or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education. (Travel for a subrecipient that is reimbursed/sponsored by UT Arlington is not required to be reported.)

**INFORMATION REQUIRED IN SFI REPORTS TO UT ARLINGTON**

Disclosures for **SFIs (1)** or **(2)** described above must include the following information (if there is more than one item to report, provide information for each separately):

1. The name and description of the entity for which the **Subrecipient / Collaborator Investigator** or a **Covered Family Member** receives **Remuneration** or holds **Equity Interest**, and whether the entity is **Publicly Traded** or **Non-Publicly Traded**.

## A description of the relationship or activity and the Subrecipient / Collaborator Investigator’s/Covered Family Member’s role, and how it is related to the Investigator’s responsibilities under the established work agreement/research with UT Arlington.

1. A description of how this activity may create a potential **Conflict of Interest** (or perception of) involving the research.
2. A description of any control mechanisms or disclosure activities that have been implemented to minimize the potential for **Conflict of Interest**.
3. If **Equity Interest** is held, report the amount of equity currently held as a percentage.
4. The total value of **Remuneration** (received in the preceding 12 months) and **Equity Interest** (the current value) received, using the following ranges:

$1 - $4,999

$5,000 - $9,999

$10,000 - $19,999

$20,000 - $100,000 (report this value in increments of $20,000) Greater than $100,000 (report this value in increments of $50,000)

The value cannot be readily determined through reference to public prices or other reasonable measures of fair market value.

Disclosures for **SFI (3)** described above must include the following information (if there is more than one item to report, provide information for each separately):

1. A description of the nature of the **Intellectual Property** and how it is related to the Investigator’s responsibilities under the established work agreement/research with UT Arlington.
2. The total value of income received or expected within this calendar year related to this **IP**:

$1 - $4,999

$5,000 - $9,999

$10,000 - $19,999

$20,000 - $100,000 (report this value in increments of $20,000) Greater than $100,000 (report this value in increments of $50,000)

1. A description of how this activity may create a potential **Conflict of Interest** (or perception of) involving the research.
2. A description of any control mechanisms or disclosure activities that have been implemented to minimize the potential for **Conflict of Interest**.

Disclosures for **SFI (4) or (5)** described above must include the following information (if there is more than one item to report, provide information for each separately):

1. The sponsor/organizer of the travel.
2. How it is related to the Investigator’s responsibilities under the established work agreement/research with UT Arlington.
3. The purpose, destination, and duration of the trip.
4. The monetary value of the travel (in dollars). If the travel was sponsored and the monetary value cannot be ascertained by you, please state this.

If a **Subrecipient/Collaborator Investigator** or his/her **Covered Family Member** has any other relationships, commitments or activities related to the Investigator’s responsibilities under the established work agreement/research with UT Arlington that might present or appear to present a **Conflict of Interest**, please disclose them here:

# Certification

## In submitting this disclosure form, I certify that the information provided is true to the best of my knowledge and that I have read and understand [UT Arlington’s Conflict of Interest Policy*.*](https://www.uta.edu/ra/real/oric/UTA%20Research%20COI%20Policy%20.docx)I understand that I am subject to [the Policy](https://www.uta.edu/ra/real/oric/UTA%20Research%20COI%20Policy%20.docx) as a condition of receiving funding and that UT Arlington reserves the right to discontinue funding if a subrecipient fails to comply with these requirements.

I certify understanding of my responsibilities regarding disclosure of significant financial interests (SFI) in accordance with UT Arlington’s Policy and applicable federal regulations ([42 CFR Part 50 Subpart F,](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&amp;sid=223ed9c7ebfa72579c62af8c29fd4fff&amp;rgn=div6&amp;view=text&amp;node=42%3A1.0.1.4.22.6&amp;idno=42) 45 CFR Part 94), ***including the requirement to recertify a COI Disclosure Form annually and to disclose any new reportable SFI or activity within 30 days of discovering or acquiring the new SFI.***

## Furthermore, I agree to comply with conditions or restrictions imposed by UT Arlington to manage, reduce, report, or eliminate actual or potential conflicts of interest.

Subrecipient/Collaborator Investigator (Please Print & Sign Name) Date

**Definitions**

**Research** is defined as a systematic investigation, study or experiment designed to develop or contribute to generalizable knowledge. The term encompasses basic and applied research (*e.g.,* a published article, book or book chapter) and product development (*e.g.,* a diagnostic test or drug).

**Investigator** is defined as a person having responsibility over: the design of the research (such as developing objectives or procedures), the conduct of research (directing the procedures or progress), or reporting of the research (writing publications, reporting to granting agencies, etc.). This definition could include any person, regardless of title, position, or status – their role and the degree of independence with which they work should be considered. Individuals that simply carry out procedures or tasks assigned to them that do not have actual responsibility over the design, conduct, or reporting of the research *are not considered Investigators*.

**Subrecipient/Collaborator Investigator** is defined, for the purposes of this procedure, as an Investigator (see definition above) either affiliated with an organization or working as an individual (e.g., consultant) that works or collaborates with UT Arlington under a PHS-funded or proposed subaward or subrecipient agreement, or collaborates on human subject (IRB) research or animal (IACUC) research.

**Covered Family Member** is defined, for the purposes of this policy, as an Investigator’s spouse and dependent children.

**Sponsored Research** is defined as any research for which a proposal is submitted or awarded by a sponsor for extramural funding, or any gift designated for research received by UTA. Sponsored research (both awards & gifts) can include research, training, and instructional projects involving funds, materials, or other compensation from external sources.

**Institutional Responsibilities** (in relation to a subrecipient work agreement) are defined as an individual’s professional responsibilities and activities on behalf of the Institution, including but not limited to: research, research consultation, teaching, professional practice, institutional committee memberships, and service on panels.

**Financial Interest** is defined as anything of monetary value, whether or not the value is readily ascertainable.

**Conflict of Interest (COI)** is defined as a significant financial interest that could directly and significantly affect the design, conduct, or reporting of research.

**Remuneration** is defined as salary or any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship). See “SFI Exclusions” below for financial interests that are not reportable.

**Equity Interest** is defined as any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value. See “SFI Exclusions” below for financial interests that are not reportable.

**Intellectual Property** is defined as a work or invention that is the result of creativity, to which one has rights. Includes, but is not limited to, any invention, discovery, creation, know-how, trade secret, technology, scientific or technological development, research data, works of authorship, and computer software, regardless of whether subject to protection under patent, trademark, copyright, or other laws.

**Significant Financial Interest** is defined as a financial interest consisting of one or more of the following interests of the Investigator (and the Investigator's Covered Family Members):

1. Remuneration or Equity Interest in a Publicly Traded Entity in which the value of Remuneration received from the entity in the preceding 12 months and the value of any Equity Interest in the entity as of the current date exceeds $5,000 when aggregated, AND it reasonably appears to be related to the Investigator’s responsibilities under the established work agreement/research with UTA;
2. Remuneration or Equity Interest in a Non-Publicly Traded Entity in which the value of Remuneration received from the entity in the preceding 12 months exceeds $5,000, or when the Investigator holds any Equity Interest, AND it reasonably appears to be related to the Investigator’s responsibilities under the established work agreement/research with UT Arlington;
3. Intellectual Property upon receipt of income related to the IP AND it reasonably appears to be related to the Investigator’s responsibilities under the established work agreement/research with UT Arlington;
4. Reimbursed or Sponsored Travel that is NOT EXCLUDED by any of the SFI EXCLUSIONS described below (see last bullet point) AND it reasonably appears to be related to the Investigator’s responsibilities under the established work agreement/research with UTA;
5. Travel not meeting the exceptions in part (d) above, but is valued at less than $5,000 per entity that reimburses or sponsors the travel.

**SFI Exclusions: The term Significant Financial Interest (SFI) does not include the following types of financial interests:**

1. Salary paid by UT Arlington to the Investigator if the Investigator is currently employed or otherwise appointed by UTA;
2. Income from investment vehicles, such as mutual funds and retirement accounts, as long as the Investigator does not directly control the investment decisions made in these vehicles;
3. Income from seminars, lectures, or teaching engagements sponsored by a Federal, state, or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education;
4. Income from service on advisory committees or review panels for a Federal, state, or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education;
5. Travel that is reimbursed or sponsored by a Federal, state, or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education. (Travel for a subrecipient that is reimbursed/sponsored by UTA is not required to be reported.)