

*Award Tracking Number:

Hampton University Significant Financial Interest Disclosure & Conflict of Interest

Principal or Co-Principal Investigator:* Email:*

School:* Department:*

Funding Agency:*

Name of Program:*

- I have No Significant Interests* or
- I am disclosing the following significant financial interest (Check all that apply) and I am attaching supporting documentation that identifies the business enterprise or entity involved, the monetary value and the nature of the interest.
 - Salary or other payment for services (i.e. consulting fees or honoraria). This does not include direct costs within the grant proposal.
 - Equity interest (i.e. stocks, stock options, or other ownership interests).
 - Intellectual property rights (i.e. patents, copyrights, and royalties from such rights).
 - Any reimbursed or sponsored travel undertaken by the Investigator (i.e. travel that is paid on the behalf of the Investigator, rather than reimbursed). This does not apply to travel reimbursed or sponsored by U.S. Federal, state or local governmental agencies, U.S. institutions of higher education, academic teaching hospitals, and medical centers. Other significant financial
 - interests of the Investigator that possibly could affect or be perceived to affect the results of the research or educational activities funded or proposed for funding.

In compliance with Hampton University’s Research Policies, I agree:

- To disclose significant financial interests before the submission of grant proposals or entering into a sub-award agreement, annually during the proposal award period, and within 30 days of discovering a new significant financial interest.
- To cooperate in the development of a Resolution Plan, if needed.
- To comply with any conditions or restrictions imposed by Hampton University to manage, reduce, or eliminate actual or potential conflicts of interest or forfeit the award.

Conflict of Interest:

In compliance with 2 CFR part 200ⁱ, Hampton University maintains the following standards of conduct governing officers, employees, or agents engaged in the award or administration of contracts using federal funds: No employee, officer or agent will participate in the selection, award or administration of a contract in which federal funds are used, where to his or her knowledge, any of the following has a financial interest in the contract:

- The employee, officer or agent;
- any member of his or her immediate family;
- his or her partner;
- an organization in which any of the above is an officer, director, or employee;
- a person or organization with whom any of the above individuals is negotiating or has any arrangement concerning prospective employment.

Employees, officers or agents may neither solicit nor accept gratuities, favors or anything of monetary value from contractors or potential contractors. Violations of, or requests for exceptions to, this policy will be reviewed by a committee appointed by the Provost. If violations to these standards are found, officers, employees or agents will be subject to disciplinary actions as recommended by the committee. Disciplinary actions may include letters of reprimand, suspensions, or termination of employment. The review process is to be completed within 30 days and written recommendation made to the Provost at that time. [Approved 6/21/95]

I certify that all information provided is complete and accurate to the best of my knowledge. My typed name and HU ID# serve as my

Signed:* HU ID#* Date*:

(Original Signature Only – a “per” signature is not acceptable)

Hampton University

Significant Financial Interest Disclosure & Conflict of Interest

Federal regulations require the University to manage, reduce or eliminate any actual or potential conflicts of interest posed by an Investigator's financial interests. An actual or potential conflict of interest exists when the reviewers determine that a substantial financial interest could have a direct and significant impact on the design, conduct, or reporting of research or educational activities funded or proposed for funding. Consequently, the University requires Investigators to disclose any significant financial interests that may present a conflict of interest in relation to a sponsored project.

Significant Financial Interest is defined as anything of monetary value to the Investigator, his or her spouse, or his or her dependent children, including but not limited to:

- Salary or other payment for services (i.e. consulting fees or honoraria);
- Equity interest (i.e. stocks, stock options, or other ownership interests);
- Intellectual property rights (i.e. patents, copyrights, and royalties from such rights).

Significant Financial Interests **does not** include:

- Salary, royalties, or other remuneration from Hampton University;
- Income from seminars, lectures, or teaching assignments sponsored by public or nonprofit entities;
- Income from service on advisory committees or review panels for public or nonprofit entities;
- Financial interest in business enterprise or entities if the value of such interest does not exceed \$10,000 and if the value does not represent more than 5% ownership in any one enterprise or entity when aggregated for the Investigator, the Investigator's spouse, and dependent children.

Instructions:

- All Principal Investigators (including Co-Principal Investigators) who plan to participate in the design, conduct or reporting of externally sponsored research must complete a Significant Financial Interest Disclosure & Conflict of Interest Form.
- Complete all required fields (marked with an asterisk) on the Disclosure Form, ensuring to include the award tracking number, disclose any significant financial interests and conflicts of interest, sign and date.
- Attach the Disclosure form (along with the grant proposal, budget, budget justification, and documentation to support any financial interests) to the Request to Apply for a Grant (RAFGC) Form and route for university approval.
- **Investigators must submit the Disclosure form:**
 - Before the submission of a grant proposal or entering into a sub-award agreement;
 - Annually during the grant award period;
 - Within 30 days of discovering a new Significant Financial Interest.

Note:

- Investigators should submit the Disclosure form directly to the Office of Sponsored Programs (annually) during the grant award period and within 30 days of discovering a new Significant Financial Interest.
- Regardless of the minimum disclosure requirements, a faculty or staff member, in his or her own best interest, may choose to disclose any other financial or related interest that could present an actual conflict of interest.

ⁱOMB Uniform Guidance at 2 CFR part 200 is the abbreviated title for Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 CFR part 200), which supersedes and streamlines requirements from OMB Circulars A-21, A-87, A-89, A-102, A-110, A-122, and A-133, and the guidance in Circular A-50 on Audit follow-up (<https://www.federalregister.gov/d/2016-16246>).