



Subrecipient Investigator Conflict of Interest Disclosure & Certification Form

This form must be completed by Subrecipient Investigators when the subrecipient institution does not have a conflict of interest (COI) policy that complies with the prime sponsor's requirements, and the subrecipient institution has elected to follow the University of Central Florida's policies and procedures related to financial conflicts of interest. A Subrecipient Investigator is defined as any person, regardless of title, position, or employment status, who is responsible for the design, conduct, or reporting of the research project at the subrecipient institution.

Please return the completed, signed form to coi@ucf.edu.

Subrecipient Investigator Name

Subrecipient Institution

Subrecipient Investigator Email Address

Subrecipient Investigator Telephone Number

UCF Principal Investigator

UCF Project Identifier

Project Title

Section I. Summary of Requirements

Subrecipient Investigators electing to follow the University of Central Florida's COI policy must:

1. Read and comply with [UCF Policy 4-504.3, Reporting Outside Activities, Financial Interests, and Potential Conflicts of Interest or Conflicts of Commitment in Research](#) with respect to the above research project.
2. Complete CITI COI training within 30 calendar days of agreement execution and every four years thereafter. Directions on how to access the training will be sent under separate cover. The Subrecipient Investigator must email a copy of their completion certificate to coi@ucf.edu.
3. Disclose Significant Financial Interests (SFIs) related to the above research project. Disclosures must be made:
 - Prior to execution of the subaward agreement;
 - Within 30 days of discovering or acquiring a new SFI (e.g., through purchase, marriage, or inheritance); and
 - Annually, during the award period



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Section II. Determining Relatedness

Relatedness refers to the connection between your financial interests and the research project. It is important to disclose related financial interests to ensure transparency and maintain the credibility of the research. Any financial interest that meets the reporting threshold and reasonably appears to be related to the research project must be disclosed.

Investigators should make a good-faith assessment of whether the research project could affect the value of their financial interest or have a financial impact on the entity in which they hold a financial interest.

A financial interest is related to the research project when your financial interest or the entity's financial interest could be affected by the research project. Some examples of relatedness include (but are not limited to):

- The research uses, involves, or assesses the effectiveness, safety or other attribute of a technology, product or service owned, made or provided by an entity you have a financial interest in.
- The research results could enhance the value of, further validate or increase the interest in a technology, product or service owned, made, or provided by an entity you have a financial interest in.
- The research results could affect the commercial or business efforts of an entity you have a financial interest in.
- New intellectual property could result from the research that could potentially be of interest to an entity you have a financial interest in.

When considering if a financial interest is related to the research project, you should be mindful of how the financial interest could be perceived to impact your ability to conduct research impartially or make decisions without being influenced by outside factors. As a general rule, it is always better to disclose your financial interests if you are unsure if they are related to the research project. You can also reach out to UCF's Research Conflict of Interest team at coi@ucf.edu for guidance.



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Section III. Disclosure of Significant Financial Interests

- Select one of the following:
- ☐ Initial Disclosure
 - ☐ Annual Disclosure
 - ☐ Update due to acquiring or discovering a new SFI

Answer the following questions about your financial interests, as well as those of your spouse and dependent children, in the context of the above referenced research project. If you require additional space to provide the information, please attach extra pages and clearly reference the relevant question number.

1. Do you, your spouse or dependent children have a financial interest related to the research project in a publicly traded entity that, when aggregated, exceeds \$5,000? *When determining your response to this question, please add the value of any equity interest as of the date of this disclosure to any remuneration received from the entity in the twelve months preceding this disclosure. Remuneration includes salary and any other payments for services not otherwise identified as salary (e.g. consulting fees, honoraria, paid authorship).*

No ☐ Yes ☐

If yes, provide name of business entity:

2. Do you, your spouse or dependent children have the following financial interests related to the research project in a non-publicly traded entity?
- a. Remuneration that when aggregated exceeds \$5,000? *Remuneration includes salary and any other payments for services not otherwise identified as salary (e.g. consulting fees, honoraria, paid authorship).*

No ☐ Yes ☐

If yes, provide name of business entity:

- b. Any equity interest?

No ☐ Yes ☐

If yes, provide name of business entity:



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3. Have you, your spouse, or dependent children received income from intellectual property rights and interest (e.g. patents, copyrights) related to this research project in excess of \$5,000 during the twelve months preceding this disclosure?

No ☐ Yes ☐

If yes, provide name of business entity:

4. Has any organization sponsored or reimbursed you for any travel you have taken that is related to the research project? *Note: You are not required to disclose travel that is reimbursed or sponsored by a federal, state, or local government agency, an institution of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education.*

No ☐ Yes ☐

If yes, provide name of sponsor/organizer, value, purpose, destination and duration of the trip:

5. Do you have any other potential conflicts of interest related to the research project?

No ☐ Yes ☐

If yes, please describe:

Section III. Investigator Certification

I certify that this is a complete disclosure of all my significant financial interests related to this project. I also acknowledge that it is my responsibility to disclose any new significant financial interest within 30 days of discovery or acquisition during the term of the above research project.

Investigator Signature

Date