

**UNIVERSITY OF LOUISIANA AT MONROE  
POLICIES AND PROCEDURES MEMORANDUM**

<i>Title:</i>	<b>FINANCIAL CONFLICT OF INTEREST POLICY</b>
<i>Effective Date:</i>	<b>10/13/2008</b>
<i>Update Responsibility:</i>	<b>Academic Affairs</b>
<i>Update Date:</i>	

- I. Public Health Service Commissioned Corps (PHS) is a team of public health professionals dedicated to delivering prevention programs and advancing public health science.
- J. Research means a systematic investigation designed to develop or contribute to generalizable knowledge, including biomedical, behavioral and social-sciences or other scholarly activity. The term encompasses basic and applied research and product development.
- K. Significant Financial Interest means anything of monetary value, including but not limited to, salary or other payments for services (e.g., consulting fees or honoraria); equity interests (e.g., stocks, stock options or other ownership interests); and intellectual property rights (e.g., patents, copyrights and royalties from such rights). The term does not include:
  - 1. Salary, royalties, or other remuneration from the applicant institution;
  - 2. Any ownership interests in the institution, if the institution is an applicant under the Small Business Innovation Research Program;
  - 3. Income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities;
  - 4. Income from service on advisory committees or review panels for public or nonprofit entities;
  - 5. An equity interest that, when aggregated for the Investigator and the Investigator's spouse and dependent children, meets both of the following tests: does not exceed \$10,000 in value as determined through reference to public prices or other reasonable measures of fair market value, and does not represent more than a five percent ownership interest in any single entity;  
or
  - 6. Salary, royalties or other payments that when aggregated for the Investigator and the Investigator's spouse and dependent children over the next twelve months are not expected to exceed \$10,000.
- L. Small Business Innovation Research (SBIR) Program means the extramural research program for small business that is established by the Awarding Components of the Public Health Service and certain other federal agencies under Pub. L. 97-219, the Small Business Innovation Development Act, as amended. For purposes of this subpart, the term SBIR Program in 152.165 Tm5 is subpawasubpawasubpawa

2. OSPR will forward the completed *Assurance Form* to the Associate Provost, who shall determine whether an actual or potential conflict exists and, if so, what conditions or restrictions should be imposed by the university to avoid, reduce, or manage the conflict in compliance with federal or state laws and university policies.
  - a. Possible conditions may include public disclosure of financial interests; review or monitoring of project activities by independent reviewers; modification of the project design; disqu.6 6491.8TT1 1 Tf11.045(on )11(of)-4( )11.6 o(l)-5( 61 Tf11.045(on )1-5(f) pas)9(;)-5(tc)9( c



**University of Louisiana- Monroe Screening Form  
for Identifying Conflicts of Significant Financial Interests**

Effective Date: October 13, 2008

**This Screening Form is used to identify potential conflicts of significant interests for ULM-based projects. Regardless of your responses on this form, all ULM employees must also abide by the Louisiana Code of Governmental Ethics—Code of Ethical Standards for Public Servants (Louisiana Revised Statutes Section 42)**

Name: \_\_\_\_\_  
University Title: \_\_\_\_\_  
Department/Unit: \_\_\_\_\_  
College: \_\_\_\_\_  
Proposal Title: \_\_\_\_\_  
Intended Funding Agency: \_\_\_\_\_

1. Do you or a *family member* have a consulting or other financial relationship with a non-governmental; external sponsor/donor of your research?

Yes \_\_\_ No \_\_\_

2. Do you or a family member have a managerial role in or an opportunity for personal gain through a significant financial interest in a company in a field of your research, a company that does business with the University, or hold an interest in a firm, corporation, or other association (hereinafter "company") to which the Board has assigned, licensed, transferred, or sold the University's interest in discoveries or inventions partially or wholly made or created by you?

Yes \_\_\_ No \_\_\_

3. Do you have non-University professional or income-producing activities involving University of Louisiana-Monroe students, professional staff, or facilities?

Yes \_\_\_ No \_\_\_

4. Do you or a *family member* have any other relationships, commitments, or activities that might, in your good faith judgment, present or appear to present a conflict of interest or appear to present a conflict of interest?