

**Attachment C: Detailed disclosure form (Confidential Supplemental Detailed Disclosure of Significant Business or Financial Interest)**

**Confidential Supplemental Disclosure of Significant Business or Financial Interests in Any External Entity**

This form must be completed for **each entity** related to positive disclosure statements on the general disclosure form that would reasonably appear to be affected by any sponsored project in which you are involved.

Name and address of entity:

Fiscal Year \_\_\_\_

Annual income from this entity: \_\_\_\_\_

**Basis for income to you or a member of your family (check all that apply):**

☐ Participation as an employee

☐ Gift

☐ Dividends

☐ Consulting

☐ Income related to royalties on patents and copyrights

☐ Lecturing

☐ Service on Advisory or Directors' Board Travel

**The value of ownership interest in external entity is:** \_\_\_\_\_

**Nature of ownership:** ☐ Equity Interest

☐ Partnership

Sole Proprietorship

☐ Other (explain) \_\_\_\_\_

**Percentage of ownership:** \_\_\_\_\_

**Answer each of the following questions. If form is to be printed, please answer any question needing more than a 2 line answer on additional page(s) as needed.**

1 If you, your spouse, dependent relative, or household member has received a consulting fee, describe the nature of the consulting activities.

2 Indicate how your activities with the entity relate to proposed or sponsored projects on which you serve as principal investigator, co-investigator, or senior personnel.

3 Explain how you are keeping your interests and obligations to the entity separate from your Texas Tech University activities and responsibilities.

4 Explain all arrangements with your chair and dean/director about use of Texas Tech University space and resources.

5 Explain the role(s) of any other Texas Tech University faculty, staff, undergraduate students, graduate students, and postdoctoral trainees in the entity. For the latter three groups, explain how their work with the entity is kept separate from their academic work and whether you serve as their advisor.

6 If you are receiving income from royalties on patents and copyrights, explain the circumstances that resulted in this income.

**Signature of Individual Providing Disclosure**

In my judgment, this disclosure of significant business or financial interest ☐ does ☐ does not constitute a conflict of interest.

Signed: \_\_\_\_\_ Date: \_\_\_\_\_, inal signature only; a "per" signature is not acceptable.

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**Deleted:** and in or from which you, your spouse and dependent relatives or household members receive in excess of \$10,000 in income, hold equity interest in excess of \$10,000 in value, or hold a 5 percent ownership interest.

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Once Providing Individual signs form, no changes can be made.) **Endorsements by individuals who are required to keep the information confidential.**

**Determination of the Unit Head:**

I have reviewed the significant business or financial interest disclosure and in my judgment:

No conflicts exist.

Conflicts of interest exist or may exist.

**Determination of the Designated Official:**

I have reviewed the significant business or financial interest disclosure and in my judgment:

No conflicts exist.

Conflicts of interest exist or may exist.

**Determination of the Associate Vice President for Research (Integrity) (AVPR):**

I have reviewed the significant business or financial interest disclosure and in my judgment:

No conflicts exist.

Conflicts of interest exist or may exist and in my judgment I believe that it will be possible to develop and execute a management plan to manage, reduce, or eliminate any actual or potential conflict of interest.\*

Conflicts of Interest exist or may exist, and in my judgment, I believe that it is not possible to manage the conflict of interest.

Signature \_\_\_\_\_ Date \_\_\_\_\_

**Determination of the Vice President for Research:**

I have reviewed the significant business or financial interest disclosure and in my judgment:

No conflicts exist.

Conflicts of interest exist or may exist and in my judgment I believe that it will be possible to develop and execute a management plan to manage, reduce, or eliminate any actual or potential conflict of interest.\*

Conflicts of Interest exist or may exist, and in my judgment, I believe that it is not possible to manage the conflict of interest.

Signature \_\_\_\_\_ Date \_\_\_\_\_

\* A management plan will be developed. See OP 70.37.

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**Comment [1]:** The new electronic system will route the information to the appropriate individuals indicated in the OP (unit head, then designated official, and then AVPR) for approval at the required levels. If the electronic system is not available by August, this statement will instruct users to submit the form(s) to their unit heads. If the electronic system is in place by August, hard copy forms will no longer be available.

Amy Baugh 2/18/13 2:43 PM

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