

# PRINCETON UNIVERSITY

## Conflict of Interest in Research/Conflict of Commitment/Outside Professional Activities

**Disclosure Form for Calendar Year 2005** *(Research & Technical Staffs and Librarians)*

**Please return completed form to your Dept/Program Manager or University Librarian by March 1, 2006**

Name: (please print) \_\_\_\_\_ Department: \_\_\_\_\_

**PART A: Outside Professional Activities.** List all outside professional activities, whether compensated or not; continue on a separate sheet if necessary.

Company or Organization	Nature of Work and/or Relationship	Number of Days
Total Number of Days*:		

Note: The University interprets the two-day-a-month rule as permitting two **days** per calendar month (i.e., two eight- to twelve-hour days out of **all** the days in one month) to be devoted to outside professional activities. This is intended to be an average figure; there is no objection to working outside four half-days in a month, or to working more than two days in a given month as long as the average is observed.

**PART B. MANAGEMENT AND FIDUCIARY ACTIVITIES**

B.1. During the last 12 months have you had a management or other fiduciary role in any organization other than Princeton? This includes, but is not limited to service as an officer, board of director, or supervisor or manager at an organization other than Princeton. It also includes any type of scientific, technical, advisory or other board appointment at any for-profit or not-for-profit organization.

YES \_\_\_\_\_ NO \_\_\_\_\_

B.2. If you answered YES, please list all activities in B.2; continue on a separate sheet if necessary.

Organization/Position	Nature of Work and Relationship with your Activities at Princeton	Number of Days
	Total Number of Days	

**PART C. NEPOTISM AND PERSONAL RELATIONSHIPS IN THE WORKPLACE**

C.1.1. During the past 12 months, have you initiated or participated in, directly or indirectly, decisions that provide a direct benefit (e.g. hiring, merit increases, work assignments, performance appraisals, etc.) to persons related to you by blood, marriage, membership in the same household, including domestic partners or persons with whom you have a personal relationship?

YES \_\_\_\_\_ NO \_\_\_\_\_

C.1.2. If you answered YES, please describe the nature of the relationship including a description of the real or potential for conflict of interest (attach an additional sheet if necessary).

**PART D. PURCHASING AND CONTRACTS**

During the past 12 months, have you participated in University purchasing decisions, contract negotiations, subcontract awards, or other University business arrangements with any organization:

- D.1.1. In which you (or persons related by blood, marriage, members of the same household including domestic partners or persons with whom you have a personal relationship) have a Significant Financial Interest (defined as greater than 1% of the stocks, profits, or assets);

- YES \_\_\_\_\_ NO \_\_\_\_\_ ; or

- D.1.2. With which you (or persons related by blood, marriage, members of the same household including domestic partners or persons with whom you have a personal relationship) have current or pending employment, consulting, management, fiduciary or similar affiliation;

YES \_\_\_\_\_ NO \_\_\_\_\_ ; or

- D.1.3. With which you have solicited or accepted gratuities, favors, or anything of monetary value, from current or potential vendors or contractors or their agents. Exceptions include: ordinary business courtesies such as payment for a modest meal or event; or acceptance of gifts which are promotional items without significant value and which are distributed routinely.

YES \_\_\_\_\_ NO \_\_\_\_\_ .

D.2. If you answered yes to any of the items above, please provide a brief analysis and description of the real or potential conflict of interest (attach an additional sheet if necessary).

**PART E. CONFLICT OF INTEREST ASSESSMENT**

E.1 In light of Princeton University’s policies and standards, and your responses to A and B above, do you perceive any risk of conflict of interest, or serious appearance of a conflict in your University research activities?

YES \_\_\_\_\_ NO \_\_\_\_\_

E.1.2. If you answered YES, please provide a brief analysis and description of the real or potential for conflict of interest (attach an additional sheet if necessary).

**CERTIFICATION:** By signing this form you certify that you have read the university’s policies and acknowledge your obligations under these policies. You further certify that the information contained in the form is complete and accurate to the best of your knowledge.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**NOTE:** The completion of parts F, G, and H are only required for those professional staff members who are *principal investigators or co-principal investigators on research grants*. If you are a principal investigator, please complete, sign and return these forms:

Name: (please print) \_\_\_\_\_ Department: \_\_\_\_\_

## PART F. SIGNIFICANT FINANCIAL INTERESTS

As used in Princeton's policy and in Federal regulations, **Significant Financial Interest** generally means an interest in an organization or enterprise, other than Princeton, that has monetary value or from which you receive or expect to receive remuneration. Significant Financial Interest includes, but is not limited to the following:

1) Any financial interest (such as ownership of stock, stock options or other securities of an organization) that is worth more than \$5,000 or represents ownership of more than 5% of the organization when aggregated with the interests of your spouse and dependent children. However, it does not include ownership of any securities in which you have an interest solely through CREF or a mutual fund.

2) Salary (other than from Princeton), royalties, retainers, consulting fees, board positions, honoraria or other payments from any organization, if those payments cumulatively exceed \$5,000 per year when aggregated with the interests of your spouse and dependent children (other than payments from governmental or nonprofit organizations for seminars, lectures, service on advisory committees or service on review panels).

F.1. To the best of your knowledge, do you or your spouse or dependent children have a Significant Financial Interest in any organization that:

F.1.1. Sponsors your University research? YES \_\_\_\_\_ NO \_\_\_\_\_

F.1.2. Could be affected by your University research? YES \_\_\_\_\_ NO \_\_\_\_\_

F.1.3. Is otherwise involved with your University activities? YES \_\_\_\_\_ NO \_\_\_\_\_

(e.g. has visitors appointed to your department, has current membership agreements in place, or is otherwise collaborating on joint research initiatives)

**If you answered NO to all of these questions, please go to Part G.**

F.2 **If you answered YES to any of the questions in F.1**, please provide the following information for each entity: (attach additional sheets as necessary)

Company or Organization	Type of Interest (e.g. stock, consulting, salary)	Amount and Percentage of Ownership	Approximate Value (a, b, c or d)

a. \$10,000 or less

b. \$10,001-\$20,000

c. \$20,001-\$40,000

d. More than \$40,000

**PART G. WORK WITH TRAINEES**

G.1. Are any students or postdoctoral appointees who work under your direction at Princeton involved in any of your work with the organizations you identified in Part A, B or E?

YES \_\_\_\_\_ NO \_\_\_\_\_

G.1.1. **If you answered YES**, please explain in what capacity they are involved, including the relationship between the students and the work they do under your direction to your outside interests (e.g., how might the students' work affect your interest in an outside organization?)

**PART H. CONFLICT OF INTEREST ASSESSMENT**

H.1 In light of Princeton University's policies and standards, and your responses to F and G, do you perceive any risk of conflict of interest, or serious appearance of conflict of interest in your University research activities?

YES \_\_\_\_\_ NO \_\_\_\_\_

H.1.1. If you answered YES, please provide a brief analysis and description of the real or potential for conflict of interest (attach an additional sheet if necessary).

In addition to requiring this annual disclosure, Princeton University's policies on Conflict of Interest and Conflict of Commitment provide that faculty members and other employees should not participate in University purchasing decisions, contract negotiations or other University business arrangements with any organization:

- 1) in which the individual or his or her spouse or dependent children, or persons with whom they have a personal relationship, have a Significant Financial Interest (defined as 1% of the stock, profits, or assets); or
- 2) with which the individual or his or her spouse or dependent children has current or pending employment, consulting, management, fiduciary or similar affiliation.

**CERTIFICATION** By signing this form you certify that you have read the university's policies and acknowledge your obligations under these policies. You further certify that the information contained in the form is complete and accurate to the best of your knowledge.

Signature \_\_\_\_\_

Date \_\_\_\_\_

**Return completed form to your Dept/Program Manager or University Librarian by March 1, 2006**