

## REQUEST FOR EXEMPTION OF CONFLICT OF INTEREST FOR RESEARCH ACTIVITIES

### UVA faculty/staff member

Name and title:  
Department/Unit:  
Percent FTE at UVA:  
E-mail:

### Immediate Supervisor

Name and title:  
E-mail:

### The Entity

Full name:  
Contact person with knowledge of this relationship:  
Name and title:  
Address:  
Phone:  
E-mail:

If your financial interest in this entity includes equity, and if the entity is a corporation, provide the state in which it was incorporated and the date of incorporation:

### Human Subjects

Does the research involve human subjects?

Yes       No

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### Your Conflict of Interest Concerns

- A. Description of Conflict of Interest. Describe the potential or actual conflict of interest that led you to file this exemption request. Use attachments as needed.
  
  - B. Steps to Mitigate Conflict. Describe the steps you propose to ensure that the integrity of your work at UVA is not compromised by your relationship with the entity. Use attachments as needed.
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### Entity Research and Development Activities

Describe the entity's research and development activities. Research does not have to be sponsored in order for relationships with entities to be eligible for COI exemptions.

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### **Details of the Relationship between University and Entity**

Provide information about the entity's present and/or proposed relationship with UVA, and the entity's present or proposed interest in your work at UVA.

- A. Sponsored Research Agreements. Describe present/proposed agreements with the entity, as sponsor or as subcontractor to UVA, involving you or your research or clinical group. Include name of PI, approximate budget, title, and whether it is active or pending/proposed.
  
- B. Options or License Agreements. Describe present or proposed options or license agreements between UVA and the entity that relate to inventions or other intellectual property developed by UVA employees. Include the title of the intellectual property.
  
- C. Gifts or Grants. If the entity has made gifts to UVA in support of your work, provide information about the dates and amounts, including whether or not the funds were used for any purpose related to your proposed relationship with the entity.

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### **Details on the Relationship between the Entity and University Employee**

*Ownership Relationship.* If your exemption request involves ownership interest in the entity:

- A. What stock, warrants, limited partnership interest, LLC interest, etc. do or will you own?
  
- B. Is ownership individual or joint? If joint, name of co-owner(s):
  
- C. Value of your ownership interest (current estimated value or percent of total ownership):
  
- D. Conditions of ownership. Describe any conditions or encumbrances affecting your ownership interest (e.g., prohibitions on exercising options or selling stock for a certain period of time, or until certain events occur?):

- E. Will you purchase the ownership interest? If yes, from whom? If not, what is the consideration for the ownership interest?

*Employment Relationship.* If you are requesting an exemption for an employment relationship (either compensated employment or other relationships such as consulting, executive responsibility in the entity's operations, board membership, royalties, etc.), provide the requested information:

- A. Describe the position you will hold and your duties on behalf of the entity.  
Title:  
Responsibilities:  
Relationship of this work to your responsibilities at UVA:
- B. How much time will you provide to the entity annually?
- C. What annual compensation do you expect from the entity?
- D. Will you use leave time for the work for the entity?  Yes  No  
If no, please explain.
- E. What percentage of your FTE is committed to grants and contracts at this time, as either reimbursed or donated effort?

*Relationship due to Gift(s).* Describe any gifts to you, other individuals, or a UVA-affiliated foundation for which you are requesting an exemption because of your relationship with the donating entity, or that entity's interest in your work.

*Other Relationships with the Entity.* Describe any other relationship with the entity which has not been discussed above, but which may require an exemption to be lawful (e.g., employment of a spouse or dependent by the entity, ownership interest in the entity by a spouse or dependent, or relationships between the entity and other organizations with which you or your spouse or dependent have ownership or employment relationships). For ownership interests, give value and percentage of total ownership interest. In describing employment, give level of effort and salary.

*Other Relationships between the Entity and the University of Virginia.*

- A. Does your spouse or other family member who lives in your home and is a dependent of yours work for the University of Virginia? If so, they share your financial interest(s) and they must also submit their own request(s) for exemption.
  
- B. Do you know of anyone else employed by the University who also has a financial interest in the entity?

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**Relationship with other organizations**

Describe any employment, ownership, or business relationship held by you or a spouse or dependent child in any business which could be affected (positively or negatively) by your relationship, or the results of your work, for the entity discussed in this exemption request.

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**Signatures:**

University faculty or staff:

Chair/Director statement (check one):

Reviewed and recommend in the best interests of the institution.

Reviewed without recommendation and forwarded for your consideration

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

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

Dean's Office - reviewed and forwarded for committee consideration:

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