UNIVERSITY OF NEW MEXICO HEALTH SCIENCES CENTER
DISCLOSURE STATEMENT OF FINANCIAL INTERESTS AND OUTSIDE PROFESSIONAL ACTIVITIES

INSTRUCTIONS

All personnel named on the budget list of a Preaward research grant/contract submission and/or as an investigator in a HRRC (IRB) submission (including data managers/statisticians) must submit the disclosure form. The UNM HSC disclosure form is completed by HSC & Main campus employees, students, and research fellows. The Non-UNM disclosure is completed by collaborators and consultants that are not employed by UNM. VA personnel that were hired by UNM are still considered UNM employees and would complete the UNM disclosure form.

The disclosure cover sheet should be submitted with the disclosure forms for all proposal/protocol submissions and with new disclosure forms submitted for HRRC amendment and continuation reviews when adding new investigators.

If you have additional personnel/investigator names than the cover sheet allows, use the “Additional Personnel/Investigators List” form.

If you don’t know your PreAward, IACUC, or RAC proposal or HRRC protocol number, leave the “proposal/protocol #” line blank. You may also use this line to put in the clinical trial number.

Handwritten signatures are required. Digital signatures are not accepted.

New Requirement: All research personnel/investigators must complete the online course, “HSC Financial Conflicts of Interest Training (HSC 104-002)” prior to protocol/proposal submissions for funding and compliance reviews. The course is available in Learning Central for UNM employees (under “Grants & Research”) and in Moodle for non-UNM investigators. A Moodle account is created from the Moodle site.

Definitions

Conflict of interest means a situation associated with an investigator’s participation in UNM research where it reasonably appears, on an actual or potential basis, that the investigator’s significant financial interest could directly and significantly affect the design, conduct or reporting of UNM research activities; or the investigator’s situation could directly and significantly compromise his or her professional commitments or allegiance to UNM.

Company refers to the non-UNM investigator’s affiliation such as a university, private or public business entity.

A publicly traded entity refers to any domestic or foreign, public organization (excluding a Federal agency) that offers its securities (stocks/shares, bonds/loans, etc) for sale to the general public, typically through a stock exchange or through market makers operating in over-the-counter markets.

A non-publicly traded entity refers to any domestic or foreign organization owned by non-governmental organizations or by a relatively small number of shareholders or company members which does not offer or trade its company stock (shares) to the general public on the stock market exchanges, but rather the company’s stock is offered, owned and traded or exchanged privately.

The description for study responsibilities (item III) may include, but is not limited to the following:

- Mentoring student research
- Study design
- Recruitment of subjects
- Obtaining informed consent
- Determining subject eligibility
- Evaluate adverse events
- Data collection/Data entry
- Data analysis
- Label/Dispense drug/device
- Maintain drug accountability records
- Perform study related procedures (e.g. blood draws, clinic assessments, physical exam)

If any questions remain on how to complete the disclosure form, contact the COI office at 272-6433. Federal regulations for conflicts of interest are available at http://hsc.unm.edu/research/coi/federalregs.shtml, and UNM COI and related policies are available at http://hsc.unm.edu/research/coi/unmpolicies.shtml.