1. Why is this additional annual requirement necessary?

   The UAB Enterprise Conflict of Interest and Conflict of Commitment Policy was revised in January 2021 to require certain UAB employees to “review and recertify disclosures of financial interests annually” while maintaining a role of full-time faculty, investigator, or institutional officials. This additional form is the mechanism by which these annual disclosures are reviewed and recertified.

2. How do I access the form?

   Log into the UAB Forms Dashboard (uab.edu/uabforms) using your Blazer ID and password. Please note the dashboard is only accessible via on-campus network or UABSecureAccess VPN. Instructions are provided on the UAB Forms Dashboard (uab.edu/uabforms). For more information on connecting to the UAB SecureAccess VPN, visit the IT Virtual Private Network webpage.

3. Who do I contact if I am having problems accessing the form?

   Please make sure you are accessing UAB Forms Dashboard (uab.edu/uabforms) via the on-campus network or UABSecureAccess VPN. Further questions regarding general and technical use of UAB Forms Dashboard (uab.edu/uabforms) should be directed to AskIT@uab.edu or 205-996-5555.

4. I do not believe I am an institutional official, full-time faculty member, other designated employee, or investigator. Why did I receive an email prompting me to complete the annual requirement e-form?

   You received the email because you have been categorized as an institutional official, full-time faculty member, other designated employee, or investigator.
If you are categorized as an institutional official (i.e., University President, University Provost, University Vice Presidents, Deans, and Chairs) or other designated employee, you were notified separately by the Chief Risk & Compliance Officer.

Please note that “investigator” is defined broadly and is not limited to principal investigators (“PIs”), and may include those individuals designated as responsible personnel on research projects with which they are associated. If you have additional questions about why you were designated as an investigator or you believe you are no longer in a role that qualifies as an “investigator,” please contact the Office of the Conflict of Interest Review Board (OCIRB) in the Office of Research at 205-975-9692 or cirb@uab.edu.

5. **What steps are involved in completing the annual requirement?**

1. Log into the UAB Forms Dashboard using your Blazer ID and password. Please note the dashboard is only accessible via on-campus network or UAB Secure Access VPN.
2. Click on the "Forms Quicklinks" on the upper right menu; select "Forms History;" and review all of the Requests for External Activity Approval forms, Notices of PPSA forms, and Disclosure of Financial Interest forms you submitted covering the previous twelve (12) months.
3. If not complete and accurate, submit those respective forms as necessary.
4. If your submissions are complete and accurate (even if you have none), proceed to the Conflict of Interest and Commitment Forms Suite on the left menu. Make sure you respond to the screening questions appropriately based on your status, and select the Disclosure of Financial Interests Form [NEW FOR 2022! COMPLETE YOUR ANNUAL REQUIREMENT HERE].

**NOTE:** If any full-time faculty, investigators, institutional officials and/or designated employees determine during the annual process that they have external activities/PPSAs during the previous 12 months for which they have not received approval/provided notice, it is important to submit a separate Request for External Activity form, even if the activity has already been completed.

6. **How do I know if I am an institutional official or designated employee?**

**Institutional Officials.** This includes any employee with direct authority over allocation of institutional resources, assignments of graduate students, trainees, funding, space, salary, or promotions for faculty. Institutional officials include the University President, University Provost, University Vice Presidents, Deans, Chairs, and other administrators in key decision-making, signatory, or assurance roles, as determined and notified by the Chief Risk & Compliance Officer in consultation with the University President.
Designated Employee. Certain employees who are not investigators, institutional officials, or full-time faculty members have been included in the annual requirement based upon their role and job responsibilities.

All individuals who must complete the annual requirement were notified by email from the Office of Compliance & Risk Assurance.

7. **If I have already received approval for an external activity involving a foreign entity, do I still need to disclose it in the Annual Requirement e-form?**

Yes. Although you have already received approval for a foreign external activity within the external activity workflow, you must still disclose the foreign affiliation to ensure it is entered in the Annual Requirement workflow.

8. **What if I did not submit an external activity request form, and I did not receive approval for an external activity before participating in the activity?**

While the UAB Enterprise Conflict of Interest and Conflict of Commitment Policy requires advanced approval prior to participating in external activities, UAB encourages full transparency at any time. The external activity request form will allow an after-the-fact submission. Accordingly, requests must be submitted after-the-fact to ensure correct disclosures have been made to the institution. For individuals responsible for research, changes in significant financial interests, which includes payments related to external activities, must be disclosed within thirty (30) days of the change.

9. **Does Intellectual Property that has already been disclosed to the UAB Harbert Institute for Innovation and Entrepreneurship (HIIE) need to be reported again in the Annual Requirement e-form?**

No.

10. **If I have completed my Annual Requirement e-form incorrectly, how do I correct it?**

There is no process for modifying a submitted form so a new form must be submitted. Please return to the UAB Forms Dashboard (uab.edu/uabforms) using your Blazer ID and password to complete a new Annual Requirement e-form. Please submit the corrected version.
11. Is the Annual Requirement e-form related to the Statement of Economic Interest Form?

No. The Statement of Economic Interest Form is required annually by the Alabama Ethics Commission. The answers provided in the Statement of Economic Interest Form go to the Alabama Ethics Commission. Those answers gathered in the Statement of Economic Interest Form are not provided to UAB.

In contrast, the Annual Requirement e-form is a UAB internal e-form required by the UAB Enterprise Conflict of Interest and Conflict of Commitment Policy. The answers provided in the Annual Requirement e-form are used by UAB administrative offices to determine whether a conflict of interest or conflict of commitment exists.

12. Who is my point of contact if I have additional questions?

Those in the role of “Investigator” who have questions about this annual requirement should contact the Office of the Conflict of Interest Review Board (OCIRB) in the Office of Research at 205-975-9692 or cirb@uab.edu.

All other questions may be directed to the Office of Compliance & Risk Assurance (OC&RA) at 205-996-6540 or compliance@uab.edu.