

## Transparency In Foreign Investment Certification

### Instructions on Foreign Research Activities:

1. **Read these instructions carefully and completely.** Failure to complete each step may result in delay of your project.
2. Please review [UAMS Administrative Guide Policy 4.4.26](#), Approval and Disclosure Certain International Activities and Undue Foreign Influence.
3. To start the process of seeking approval of certain international activities, complete the form located at <https://research.uams.edu/research-essentials/international-activities-form/>
4. If your project will require shipping materials outside of the US, please obtain approval from the Office of International Compliance via its International Shipping form (<https://internationalcompliance.uams.edu/international-shipping/>). You will also need to have a Material Transfer Agreement in place before any shipment. (see below)
5. If your project has restrictions on foreign national participation, please contact the Office of International Compliance for further review. ([WLAshley@uams.edu](mailto:WLAshley@uams.edu)). Non-US Citizens or a non-US Green Card Holder are foreign nationals.
6. Financial interests you have with a foreign entity may also require disclosure under the UAMS Conflict of Interest policy. Please update disclosures with the Conflict of Interest Office within thirty (30) days of acquiring a new, reportable interest.
7. All agreements entered in your individual capacity with a foreign entity must be approved by the Vice Chancellor of Research & Innovation.

### Act 1020 Certification Instructions:

8. The sharing of Scientific Data, materials, or funding, outside of UAMS will require a contract with the external entity. Please contact [ResearchContracts@uams.edu](mailto:ResearchContracts@uams.edu) for an agreement and a Restricted Party Screening of the foreign company you plan to work with.
9. Fill out the below Transparency in Foreign Investment Certification Form (Act 1020 Certification), provide all relevant documentation and sign.
10. Obtain approval and signature from your Department Chair on the Transparency in Foreign Investment Certification Form. If you are the Department Chair, please sign and return form for approval to the Vice Chancellor for Research and Innovation.
11. After you have obtained approval and signature from your Department Chair, obtain the approval and signature of the Vice Chancellor for Research and Innovation, Daniel Voth ([dvoth@uams.edu](mailto:dvoth@uams.edu)) with copy to Eileen Mok ([YKMok@uams.edu](mailto:YKMok@uams.edu)) and Mohamed “Moe” Elasri ([MOElasri@uams.edu](mailto:MOElasri@uams.edu)), and return the completed Certification form to [ResearchContracts@uams.edu](mailto:ResearchContracts@uams.edu)
12. All agreements between UAMS and a foreign entity where UAMS is a party must be reviewed and approved by the Office of General Counsel. An official signatory must sign on behalf of the UAMS.

**Transparency In Foreign Investment Certification  
(Act 1020 Certification)**

**Investigator's Name [print]:**

**Investigator's Email Address:**

**UAMS Contract No. or IRB No. (if available):**

**Please describe the international activity that you plan to participate in:**

**Project Title:**(please attach a research protocol, abstract, scope of work, SOW, or summary of project)

**Project Funding Source:**

**Name of Foreign Contracting Entity :**

**Name of Foreign Investigator:**

**Foreign Entity's Contact Information**

Contact Name:

Address:

Email Address:

Phone number:

**Please provide information about any additional foreign contracting entity (Name and Contact information), if applicable**

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**In accordance with Act 1020, I (we) hereby certify, to the best of my (our) knowledge and belief, that entering into this contract/grant does not threaten:**

- (1) The integrity of the UAMS' research, instruction, or operations;
- (2) UAMS' intellectual property rights;
- (3) The protection of confidential information; or
- (4) The safety and security of:
  - (A) UAMS;
  - (B) UAMS' personnel and students;
  - (C) The State of Arkansas; or
  - (D) The United States.

**In accordance with UAMS policy, I hereby certify as follows:**

- If I am sending or receiving materials, data, funding, or other support to or from a foreign entity, I understand that I may need a written agreement for such transfer. I have contacted or will contact the Export Control Office in compliance with UAMS Administrative Guide 15.1.06, International Compliance & Export Management Policy.
- I have submitted or will submit a contract with the foreign entity to the Office of General Counsel ([ResearchContracts@uams.edu](mailto:ResearchContracts@uams.edu)) for Excluded Party Screening.
- I am up to date with the Conflict of Interest disclosure and certify that I am in compliance with UAMS Administrative Guide Conflict of Interest and Conflict of Commitment Policies.

**Principal Investigator Name** [please print]: \_\_\_\_\_

\_\_\_\_\_  
(Signature)

Title:

Email:

Phone:

Date:

**Department Chair Name** [please print] if applicable:

\_\_\_\_\_  
(Signature)

Title:

Date:

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In accordance with UAMS Administrative Guide Policy 4.4.26, I have reviewed the above referenced project in reliance on the certifications of the investigator herein and approve UAMS's engagement with the Contracting Entity.

\_\_\_\_\_  
Name: Daniel Voth, Ph.D. Date: \_\_\_\_\_  
Title: Vice Chancellor for Research and Innovation