DISCLOSURE OF FINANCIAL CONFLICT OF INTEREST **DSR-05**

Please read, sign and submit this form to the Division of Sponsored Research with grant applications for PHS, NSF, AHA, and other agencies where applicable, with the exception of STTR/SBIR Phase I projects.

Project Title: _____

Effective October 1, 1995, new federal regulations require universities manage, reduce, or eliminate any actual or potential conflict of interest that may be presented by compensated outside activities and other financial interests of investigators (as defined below) involved in sponsored research projects funded by the Public Health Service (PHS), the National Science Foundation (NSF), the American Heart Association (AHA), and any other agencies that follow this policy. The primary purpose of the federal regulations is to prevent bias in the design, conduct, or reporting of research projects. Investigators working on projects funded by the PHS, NSF, AHA, and other agencies where applicable, must abide by these requirements.

Any employee submitting a grant or contract proposal to the Public Health Service, the National Science Foundation or American Heart Association or conducting research or educational activities pursuant to such a grant or contract at the university as an "investigator" must report any "Significant Financial Interest" that would reasonably appear to be affected by the proposed or funded research activities, including interest maintained in entities that would be so affected. An "investigator" is defined as the principal investigator, co-principal investigator, or any other employee responsible for the design, conduct, or reporting the proposed or funded research or educational activities. For the purpose of determining a Significant Financial Interest, an "investigator" also includes an employee's spouse and dependent children.

A "Significant Financial Interest" refers to: salary or other payments for services, such as fees and honoraria; equity interests, such as stocks and stock options; and intellectual property rights, such as patents, copyrights, and royalties. A Significant Financial Interest does not refer to salary or other remuneration from the university; income derived from seminars, lectures or teaching engagements sponsored by public or nonprofit entities; income derived from service on advisory committees or review panels for public or nonprofit entities; or salary, royalties or other payments that, when aggregated for the investigator and his or her spouse and dependent children, is not expected to exceed $10,000 over a 12 month period. An equity interest that, when aggregated for the investigator, spouse, and dependent children, does not exceed $10,000 and does not represent more than a five percent ownership interest in any entity is also not considered a Significant Financial Interest. Significant Financial Interests must be disclosed at the time of the proposal submission, but approval of the outside activities and financial interests (with conditions if warranted) need not occur until the project has been funded, but prior to expenditure of any awarded funds. The federal regulations also require that the disclosures be made annually during the course of the research or as new reportable significant financial interests are obtained. The employee must file a new report if a new Significant Financial Interest is obtained, which is consistent with the university's requirement that any material changes to outside activities and financial interests must be reported during the academic year. Review and approval or disapproval of the interests disclosed during the course of a research project must be accomplished within 60 days.

The department chairperson (or supervisor) and the dean (or director) are responsible for reviewing each disclosure to determine if there is a conflict of interest. Under the federal regulations, if a Significant Financial Interest may directly and significantly affect the design, conduct, or reporting of the research a conflict will be deemed to exist. The university, through the department chairperson (or supervisor) and dean (or director), is required to manage, reduce or eliminate the conflict. Conditions that might be imposed in such cases include public disclosure of the conflict, modification of the research design, or monitoring of the research by independent reviewers. If adequate measures are not feasible, the employee may have to discontinue the compensated activities or divest himself of the financial interest, or discontinue the research. The employee must abide by the conditions under which the research is permitted.

I declare that under the Regulations described above:

☐ **I DO NOT** have a significant financial interest that would reasonably appear to be affected by the proposed research activities. (sign below)

PI: _____ _____
Sign Date

Print: _____

Co-PI: _____ _____
Sign Date

Print: _____

Other Key Personnel:

_____ _____
Sign Date

Print: _____

☐ **I DO** have a significant financial interest that would reasonably appear to be affected by the proposed research activities. (sign below)

PI: _____ _____
Sign Date

Print: _____

Co-PI: _____ _____
Sign Date

Print: _____

Other Key Personnel:

_____ _____
Sign Date

Print: _____

(Use additional forms as necessary)