

Project-Specific Significant Financial Interest Disclosure Form

Required of all Investigators for certain PHS-Supported or NSF-Supported Proposal Submissions (and for some Sponsors who follow the described federal rules)

SECTION 1: Investigator Disclosure

This form must be submitted at time of proposal submission. You must disclose all significant financial interests related to your institutional responsibilities (as defined on p.3), whether or not they are related to the research proposed in the Grant or Sponsor application.

Investigator Name:

Role on Project:

Project Title:

Department:

Email: Phone: Fax:

Do you, your spouse, or dependent children have a significant financial interest (SFI) as defined on page 3 that could reasonably appear to be related to your institutional responsibilities?

No Yes

If yes, list each significant financial interest (SFI), indicating the entity, the nature of the interest, the approximate monetary value, and the person with the SFI and their relationship to you (see sample entry on pg 3.) Your immediate supervisor must sign below and, if SFI exists, certify in Section 2.

If additional space needed, attach separate sheet(s).

Investigator Affirmation and Signature:

In submitting this form, I affirm that I have disclosed all significant financial Interests held by myself, my spouse, and dependent children. I understand and agree that I must promptly file an update to this Disclosure form if any of the information reported here should change materially.

I also affirm that I have read and understand The University of Akron's policy on Investigators' Conflict of Interest and that I have completed the required Conflict of Interest training.

_____ Reviewed by: _____

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SECTION 2: Administrator Certification (submit only if SFI is disclosed in Section 1)

Investigator Name:

Role on Project:

By signing below, the department chairperson/immediate supervisor hereby certifies that he or she has reviewed this form and has determined that (please check one):

- A significant financial interest was disclosed and I have determined it is not related to the proposed PHS-funded research and a conflict does not exist.
- A significant financial interest was disclosed and I will defer to the ORA to determine whether the SFI is a financial conflict of interest and if it is related to this project.
- A conflict of interest exists but will be reduced, eliminated or managed as described below or on an attached sheet.

Dept. Chair/Immediate Supervisor Signature*

Date

***If directly involved in the research, the Dean must review and sign.**

Copies of disclosure forms for all investigators on PHS/NIH proposals will be held in the department and must be submitted to the Office of Research Administration (ORA) if an award is made.

***If a Financial Conflict of interest is identified, a management plan must be developed and submitted to the ORA so that the university can satisfy the reporting requirements imposed by PHS. Disclosure forms and management plans will be requested when the Principal Investigator receives a request from NIH for Just-In-Time information.**

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Definitions

Investigator – Principal Investigator and any other person, regardless of title or position, who is responsible for the design, conduct, or reporting of research proposed for funding by the NIH, including collaborators or consultants.

Institutional Responsibilities – an Investigator’s professional responsibilities on behalf of the Institution, which may include research, teaching, consultation, professional practice, institutional committee memberships, and service on panels such as IRBs or Data Safety Monitoring Boards.

Remuneration – salary, consulting fees, honoraria, paid authorship (**excludes** income from seminars, lectures, or teaching engagements sponsored by federal, state or local government agencies, institutions of higher education, academic teaching hospitals, medical centers, or research institutes affiliated with institutions of higher education.

Equity Interest - stock, stock options, or other ownership interest (**excludes** income from investment vehicles such as mutual funds and retirement accounts as long as investigator does not control investment decisions made in these vehicles.)

Intellectual Property Rights and Interests – patents and copyrights (**excludes** IP rights assigned to the Institution and agreements to share royalties related to such rights.)

Significant Financial Interests (SFI) – include financial interests related to an Investigator’s institutional responsibilities, aggregated for the investigator and those of his/her spouse and dependent children:

1. **SFI in publicly traded entities** – the value of remuneration in the 12 months preceding disclosure and the value of any equity interest as of the date of disclosure that, when aggregated, exceeds \$5,000 (For NIH/PHS) or \$10,000 (For NSF).
2. **SFI in non-publicly traded entities** - the value of remuneration in the 12 months preceding disclosure exceeding \$5,000 (For NIH/PHS) or \$10,000 (For NSF); or ANY equity interest or intellectual property rights and interests, upon receipt of income related to such rights and interests.
3. **Reimbursed or sponsored travel** - travel paid on behalf of the investigator and not reimbursed directly to investigator so that the exact monetary value may not be readily available. This does not include travel on sponsored projects if charged to a grant account or payment for travel for seminars, lectures, teaching, or service on advisory or review panels for government agencies or U.S. based institutions of higher education (IHE) or U.S. based facilities affiliated with IHEs.

Financial Conflict of Interest (FCOI) – A significant financial interest that could directly and significantly affect the design, conduct, or reporting of the research.

Sample SFI Entry:

ABC Company, consultant, \$6,000, spouse

XYZ company, travel to conference, Philadelphia, 3 days, self