

FINANCIAL CONFLICT OF INTEREST DISCLOSURE OF SIGNIFICANT FINANCIAL INTERESTS

REV. DECEMBER 2015

Who must complete this form? The Principal Investigator(s) (PI), Co-Investigator(s) (CO-I), and any other person that is independently responsible for the DESIGN, CONDUCT or REPORTING (DCR) of the research.

When should this form be completed? At the time of grant submission, when grant is awarded, when new SFI is identified (e.g., new travel), and the time of funded grant annual reporting or renewal.

REMINDER FOR USERS: Complete form in Adobe Pro, not the Preview function in MAC OS, or Adobe Reader. Using either software will disable parts of the form/affect ability to submit in Cayuse. **For instructions to submit to Cayuse, please review page 3 - Instructions**

Project Information

Name of Person Reporting <input style="width: 95%;" type="text"/> Email <input style="width: 95%;" type="text"/> Principal Investigator <input style="width: 95%;" type="text"/>	Department/College <input style="width: 95%;" type="text"/> Phone <input style="width: 95%;" type="text"/> Sponsor <input style="width: 95%;" type="text"/>
Project Title <input style="width: 99%; height: 30px;" type="text"/>	

Type of Project/Disclosure

<input type="checkbox"/> New Proposal	<input type="checkbox"/> No-Cost Time Extension
<input type="checkbox"/> Annual Reporting / Non-competing Continuation	<input type="checkbox"/> New Investigator Responsible for DCR Added to Project
<input type="checkbox"/> Renewal / Competing Continuation	<input type="checkbox"/> New Travel Disclosure
<input type="checkbox"/> Supplemental Funds with or without Time Extension	<input type="checkbox"/> New SFI Acquired

Training

If funding source is Public Health Service Funding (NIH, HRSA, CDC, AHRQ, SAMHSA, ATSDR, FDA, & IHS) or agencies that follow PHS COI Regulations (see: http://sites.nationalacademies.org/PGA/fdp/PGA_070596), [training in the URI COI Policy](#) is required within the past 4 years. See the [ORI Compliance Training](#) page for additional instructions.

COI Training Date

Disclosures

Publicly Traded Entity

1. Have you, a member of your family, or your business associate(s) received income or payment for services in the past 12 months or own equity interest in any publicly traded entity related to your institutional responsibilities exceeding \$5,000 when aggregated? This does not include interests in mutual funds and retirement funds in which you do not directly control investment decisions.
 Yes
 No

Non-Publicly Traded Entity

2. Do you, a member of your family, or a business associate(s) hold any equity interest in any non-publicly traded entity related to your institutional responsibilities. This can include any stock, stock option, or other ownership interest.
 Yes
 No

3. Have you, a member of your family, or a business associate(s) received income or payment for services exceeding \$5000 when aggregated in any non-publicly traded entity related to your institutional responsibilities in the past 12 months?
 Yes
 No

Intellectual Property

4. Have you, a member of your family, or your business associate(s) received any payments, in the past 12 months, for any intellectual property rights and interests (e.g. patents, copyrights, assigned or licensed to a party other than URI) exceeding \$5,000 related to your institutional responsibilities?
 Yes
 No

Travel

5. Have you received any travel reimbursement or been sponsored for travel (i.e. travel expenses paid on behalf of Investigator and not reimbursed to Investigator), in the past 12 months, by any entity exceeding \$5,000 related to your institutional responsibilities? This does not include travel sponsored or reimbursed by a federal, state, or local government agency, a US institution of higher education or an affiliated research institute, an academic teaching hospital, or a medical center.
 Yes
 No

If you answered Yes to any of questions 1-5 above, please fill out Part B of this Form

I certify that the information above is complete and true to the best of my knowledge.

Please sign here (digital or original scan)

Date

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DISCLOSURE OF SIGNIFICANT FINANCIAL INTERESTS

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Please submit the following page if you have answered "yes" to one or more of questions 1-5 on Part A. Investigators must provide an updated Disclosure of Significant Financial Interests within thirty (30) days of acquiring or discovering (e.g., new reimbursed travel, through purchase, marriage, or inheritance) a new Significant Financial Interest.

Project Information

Name of Person Reporting

Project Title

Name of Entity(s) with which
Investigator has a SFI

Entity(s) address

Entity(s) website(s) if
applicable

Form of Compensation

What type of compensation did you receive? (check all that apply)

<input type="checkbox"/> Salary	<input type="checkbox"/> Stock
<input type="checkbox"/> Consulting Fees	<input type="checkbox"/> Stock Options
<input type="checkbox"/> Honoraria	<input type="checkbox"/> Reimbursed Travel
<input type="checkbox"/> Paid Authorship	<input type="checkbox"/> Other

List value(s) of compensation
(e.g., \$5,000 in stock, \$ 7,000 in
consulting fees)

What is the nature of the work
you provided for the Entity(s)?

Does the disclosed interest
relate to the above referenced
research project? Please
provide an explanation.

I certify that to the best of my knowledge. I am in compliance with the disclosure and reporting requirements of 42 CFR Part 50 Subpart F and 45 CFR Part 94, and all other requirements therein.

Please sign here (digital or
original scan)

Date

FINANCIAL CONFLICT OF INTEREST DISCLOSURE OF SIGNIFICANT FINANCIAL INTERESTS

OFFICE OF
RESEARCH INTEGRITY

REV. DECEMBER 2015

Instructions

Submission to Cayuse

1. Once this PDF form is completely filled out, go to the top menu bar and select "File" and then select "Print..."
2. At the top of the printer pop-up, there is a drop-down menu to select your printer. Select, "Adobe PDF". Press "Print".
3. Once saved, this PDF will become a "flattened" file and ready for submission to Cayuse.

Disclosure Steps

1. Any person who is responsible for the design, conduct, or reporting on a project must submit the SFI Disclosure Form Part A at the time of proposal submission.
2. If a SFI is disclosed on SFI Disclosure Form Part A, complete Part B. Disclosures should be submitted to Sponsored Projects via Cayuse with the exception of new SFI and travel disclosures, which should be submitted to researchintegrity@etal.uri.edu.
3. Disclosures are reviewed by the COI Designated Official and/or the Conflict of Interest Management Committee (CIMC) to determine if the SFI is related to the research project.
4. If the SFI is determined to be a COI, the CIMC will work with the PI to eliminate or manage the COI and complete approval process required by the Rhode Island Public/Private Partnership Act.
5. Submission of the disclosure is required (i) on an annual basis for non-competing continuation awards (PHS awards only), (ii) when a new Investigator is added to the project, (iii) when an Investigator identified a new significant financial interest, or (iv) when an investigator has new reimbursed travel greater than \$5000 (PHS awards only). It is also required when an Investigator transfers research to URI.

Who is considered an "Investigator," and therefore required to disclose? "Investigator" means the project director or principal investigator and any other person, regardless of title or position, who is responsible for the design, conduct, or reporting of research funded by the PHS (e.g., NIH), or proposed for such funding.

What is an entity? Entity means any domestic or foreign, public or private, organization (excluding a Federal agency) from which an Investigator (and spouse and dependent children) receives remuneration or in which any person has an ownership or equity interest.

What is considered the investigator's family? The investigator's 'family' includes all members of the investigator's extended family including spouse, domestic partner, children, parents, siblings, aunts, uncles, and in-laws.

What is a "Significant Financial Interest"? A significant financial interest consisting of **one or more** of the following interests of the Investigator (and those of the Investigator's family and business associates) that reasonably appears to be related to the Investigator's institutional responsibilities:

1. With regard to **any publicly traded entity**, any income received from entity in 12 months preceding disclosure and value of any equity interests in entity as of date of disclosure exceeding \$5,000 when aggregated for an Investigator, Investigator's family or business associates from a single Entity (Business, Public or Nonprofit) including salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship). Equity interest includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value;
2. With regard to any **non-publicly traded entity**, any remuneration received from entity in 12 months preceding disclosure, when aggregated, exceeds \$5,000; or when Investigator holds any equity interest (e.g., stock, stock option, or other ownership interest). This does not include income from seminars, lectures, or teaching engagements sponsored by a Federal, state, or local government agency, an institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education;
3. Intellectual property interest held by the Investigator, or Investigator's spouse or dependent children on a patent, patent application, or a copyright of software assigned or to be assigned to a party other than the URI upon receipt of income related to such rights and interests that exceed \$5,000 in 12 months preceding disclosure.
4. Any reimbursed or sponsored travel (i.e., that which is paid on behalf of Investigator and not reimbursed to Investigator so that the exact monetary value may not be readily available), related to institutional responsibilities. Excludes travel reimbursed or sponsored by Federal, state, or local government agency, an Institution of higher education as defined by 20 U.S.C. 1001(A), an academic teaching hospital, a medical center, or a research institute affiliated with Institution of higher education.

What is not a "Significant Financial Interest"? Significant financial interests do **not** include (1) payments made by URI (salary, royalties, honoraria, expense reimbursement or any other remuneration) or (2) income from seminars, lectures, or teaching engagements sponsored by a Federal, state, or local government agency, an institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education or (3) an investment by a mutual fund, pension fund or other investment fund over which the investigator or his/her immediate family member does not exercise management of fund investment.

What are institutional responsibilities? "Institutional Responsibilities" is defined as teaching/education, research, outreach, clinical service, training and University and public service, on behalf of URI and directly related to those credentials, expertise and achievements upon which the Investigator's URI position is based.

How often do I need to disclose? Disclosures are required at the time of grant submission, upon award, annually during the award period for funded awards subject to the PHS COI Regulation, and within 30 days of discovering or acquiring (e.g., through purchase, marriage, or inheritance) a new Significant Financial Interest.