

EMORY UNIVERSITY
INVESTIGATOR REPORT OF FINANCIAL INTERESTS IN RESEARCH

INSTRUCTIONS FOR COMPLETING THIS FORM:

WHO MUST COMPLETE THIS FORM:

This report must be completed by every **Investigator**, as that term is defined below, at the time of proposal submission. **Investigator** includes the principal investigator and any members of the research team engaged in the design, conduct, or reporting of the research, including staff, fellows, residents, and students. At a minimum, an *Investigator Report of Financial Interests in Research* must be provided for:

- Any person whose biographical sketch is included in the proposal; and/or
- Any person whose name appears in the budget.¹

WHAT MUST BE REPORTED:

Emory University will not submit a proposal, and an award cannot be issued to Emory unless and until Emory has on file all *Investigator Reports of Financial Interests in Research* associated with a proposal. Investigators seeking external research support must disclose all **Significant Financial Interests** that would reasonably appear to affect or be affected by the research on which the **Investigator** is working; or that are held in any entity whose financial interests would reasonably appear to affect or be affected by the research. Such interests may include any **Compensation** (e.g., fees, honoraria, royalties) from ownership interests in:

- Sponsors of the project;
- Businesses that make or distribute products/services used in the research, or competitors of such businesses;
- Businesses developing a product that the research is intended to evaluate or further develop; and/or
- Any party whose financial interests would seem to be directly and significantly affected by the research.

Additionally, proprietary interests (patent or copyright) related to the research must be disclosed.

The **Investigator** must report **Significant Financial Interests** that are related to the research both for himself /herself and for his/her spouse, domestic partner and/or dependent children. In determining whether or not an interest must be reported, the Investigator must total up the amount or percentage of his/her interest with those interests, if any, of the Investigator's spouse, domestic partner or dependent children.

Federal regulations and University Policy require that **Investigators** disclose the existence and nature of the aforementioned **Significant Financial Interests** related to the research BEFORE submitting a grant or contract application.²

The original *Investigator Report of Financial Interests in Research* form must be submitted with the proposal to the Office of Sponsored Programs. One copy should be retained with the principal investigator's records relating to the project.

¹ For NIH proposals and awards this includes any person referenced in the modular budget narrative or in the detailed budget. It also included consultants and any "to be appointed" positions

² Frequently Asked Questions: Responsibility of Applicants for Promoting Objectivity in Research for which PHS Funding is Sought (42 CFR Part 50 Subpart D, Grants and 45 CFR Part 94, contracts: See: <http://grants.nih.gov/grants/policy/coifaq.htm#c1>: http://grants.nih.gov/grants/compliance/42_CFR_50_Subpart_F.htm See also Reminder of Financial Conflict of Interest for All NIH Supported Institutions: <http://grants2.nih.gov/grants/guide/notice-files/NOT-OD-05-013.html>

FORM FOR COMPLETION:

1. Name: _____
2. Department/Unit: _____
3. Phone Number: _____ E-mail: _____
4. Lead Principal Investigator/Program Director/Responsible faculty member:
Name: _____
5. Sponsor: NSF PHS other sponsor (specify) _____
6. Title of proposal: _____

Check all **Significant Financial Interests** related to the research that apply to you (including your immediate family, individually or in aggregate):

- Payments of \$10,000 or more including salary; consulting fees; royalty or licensing payments from intellectual property; honoraria; and/or gifts received within the past 12 months or anticipated over the next 12 months (excluding salary, grant support, and other payments for services received from Emory University);
- Equity or ownership interest (including stock options) of more than 1% of the value of an entity, or worth \$10,000 or more as determined by reference to the entity's publicly listed price (excluding mutual funds);
- Any equity or ownership interest in an entity if the entity's value cannot be determined by reference to publicly listed prices (e.g., privately held companies, such as start-up companies);
- A position as director, officer, partner, trustee, employee, or any other position of management;
- Patent rights or royalties from such rights, the value of which may be affected by the outcome of the research, including royalties under any royalty-sharing agreements involving the University; or
- Any combination of remuneration, fees, royalties, or honoraria, which, when aggregated, exceeds \$10,000 received in the past 12 months, or anticipated for the next 12 months,, from an entity whose products or services are used or studied in the research, or in an entity that is developing products or services that the research is intended to study or evaluate
- Any compensation whose value could be affected by the outcome of the research.
- None of the above.

Certification

I certify that:

1. All **Significant Financial Interests** meeting the criteria above have been disclosed.
2. If I am the principal investigator, I have obtained and submitted disclosures for all Emory members of the research team meeting the definition of **Investigator** as defined below.
3. I am aware and understand that I have an ongoing responsibility to update my report immediately upon any change in outside financial activities that are related to this research project. Additionally, if I am the principal investigator for this research project, I understand that it is my responsibility to ensure that the other members of the research team update their disclosures on an ongoing basis as their circumstances change.
4. I have read and understand Emory University policies regarding conflict of interest disclosure including the Emory Statement of Guiding Ethical Principals available at: <http://www.emory.edu/SECRETARY/Statement/> and Policy 7.7 at <http://policies.emory.edu/7.7>
5. To the best of my knowledge, I and my spouse, domestic partner or dependent children are in compliance with federal regulations concerning disclosure of outside activities and financial interests.
6. I have completed the NIH Office of Extramural Research Financial Conflict of interest tutorial available at: <http://grants2.nih.gov/grants/policy/coi/tutorial/fcoi.htm>

Investigator Signature*

Date

* No "per" signatures or stamps will be accepted

DEFINITIONS

DEFINITIONS YOU NEED TO KNOW TO COMPLETE THIS FORM:

INVESTIGATOR: An **Investigator** is any person who is responsible for the design, conduct or reporting of a proposed or actual research project. The term **Investigator** includes the principal investigator and any co-investigators, collaborators,

COMPENSATION: **Compensation** means anything of monetary value including, but not limited to, salary, consulting fees, honoraria, or other payments for services, of any type, including speaking, teaching, and educational engagements, as well as gifts to an **Investigator**.

SIGNIFICANT FINANCIAL INTEREST:

A **Significant Financial Interest** means:

Anything of monetary value, including salary, consulting fees, speaking fees, honoraria, gifts to the Investigator, or any other payments to the Investigator.

Any equity interest, such as an ownership interest, stock, or stock option.

Any intellectual property right such as a patent or copyright.

An **Investigator** must report any **Significant Financial Interest** that may reasonably appear to affect or be affected by the actual or proposed research project on which the **Investigator** is working. In making this determination, the **Investigator** DOES NOT have to report the following items:

- (a) Any salary or other payments for services that Emory pays to the Investigator.
- (b) Salary or other **Compensation** that when totaled up currently, and over the next 12 months, for the **Investigator** and his/her spouse or domestic partner and dependent children is less \$10,000; HOWEVER, if the **Investigator's** research can affect the amount of **Compensation** that the **Investigator** receives, then, the **Investigator** must report ANY amount of such **Compensation**.
- (c) Any gifts to Emory University, so long as the **Investigator** does not have signing authority on the Emory account into which the gift is placed.
- (d) Any payments the **Investigator** gets from non-promotional educational seminars, lectures or teaching engagements that are sponsored and paid for by a governmental entity or by a non-profit entity that is not controlled by or under contract to a commercial entity. For example, income from a non-profit speakers' bureau that is paying a speaking fee pursuant to a contract with a for-profit company would have to be reported.
- (e) Any payments for serving on advisory committees or review panels that are established and paid for by a governmental entity or a non-profit entity that is not controlled by or under contract to a commercial entity.
- (f) Any equity or ownership interest that an **Investigator** has in a publicly traded company (i.e., a company whose stock is traded on a stock exchange such as the NYSE or NSDAQ), excluding mutual funds, that is less than \$10,000 in value and less than 1% of the ownership of the company. Value shall be determined by looking at public prices or at other reasonable measures of fair market value. In determining whether or not an interest is more than \$10,000 or 1%, the **Investigator's** interest shall be totaled up with any interest that his/her spouse or domestic partner and dependent children has/have.