

## DISCLOSURE OF SIGNIFICANT FINANCIAL INTEREST

DSR-05 PHS

All Investigators (as defined below) must read, sign and submit this form to the Division of Sponsored Programs (DSP) with each grant application being submitted where the source of funding will be from a US Public Health Service Services Organization as a recipient or as a subrecipient, with the exception of STTR/SBIR Phase I projects, which have been exempted by federal rule. This form is also required with grant applications submitted to non-federal sponsors that have adopted this PHS policy as their own. (Link to list of organizations - <http://research.ufl.edu/faculty-and-staff/research-compliance/conflict-of-interest-and-outside-activities/public-health-service-phs/list-of-organizations-that-require-compliance-with-phs-regulations.html>).

**Project Title:** \_\_\_\_\_ **UF PI:** \_\_\_\_\_

Effective August 24, 2012, the Public Health Service (PHS) require grantees to manage 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). In addition, several non-federal sponsors that have adopted this policy as their own, for example, American Heart Association (AHA). 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 these various granting agencies must abide by these requirements.

“**Investigator**” is defined as the Principal Investigator, Co-Principal Investigator, or any other person responsible for the design, conduct, or reporting of the research or educational activities. “Investigator” for the purposes of determining a “Significant Financial Interest” includes the Investigator’s spouse and dependent children.

“**Significant Financial Interest**” is one or more of the following financial interests of the Investigator that reasonably appears to be related to the Investigator’s institutional responsibilities. A Significant Financial Interest does not include salary, royalties, or other remuneration paid by the Institution to an Investigator; income from seminars, lectures, or teaching engagements sponsored by a federal, state, or local government agency, or an institution of higher education; or income from service on advisory committees or review panels for a federal, state, or local government agency, or an institution of higher education.

**A.** With regard to any publicly traded entity, a Significant Financial Interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure and the value of any equity interest on the date of disclosure when aggregated, exceeds \$5,000. Remuneration includes salary and any payment for services not otherwise identified as salary (*e.g.*, consulting fees, honoraria, paid authorship, travel reimbursement); equity interest includes any stock, stock option, or other ownership interest, as determined by public prices or other reasonable measures of fair market value.

**A. Check Yes \_\_\_ indicating you had such a significant financial interest or No \_\_\_.**

**B.** With regard to any non-publicly traded entity, a Significant Financial Interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure exceeds \$5,000, or the Investigator holds any equity interest in the non-publicly traded entity.

**B. Check Yes \_\_\_ indicating you had such a significant financial interest or No \_\_\_.**

**C.** Intellectual property rights (*e.g.*, patents, copyrights), upon receipt of income related to such rights. The term Significant Financial Interest does not include royalties paid by the Institution to an Investigator.

**C. Check Yes \_\_\_ indicating you had such a significant financial interest or No \_\_\_.**

**D.** Investigators must disclose the occurrence of any reimbursed or sponsored (except when paid through the Institution) travel related to their institutional responsibilities. Not required to be disclosed is travel that is reimbursed or sponsored by a federal, state, or local government agency, an Institution of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education.

**D. Check Yes  indicating you do have reimbursed or paid travel (except when paid through the Institution) and complete the PHS FCOI Reimbursed or Paid Travel Disclosure Form (part 2) of this form.**

**Check No  indicating no reimbursed or paid travel.**

One requirement of the FCOI regulation is that all investigators must complete FCOI training, before engaging in the research. UF Funding will not be released until the training is completed.

**Check Yes  indicating you have taken the myUFL FCOI Training, course number DSR810.**

**Check No  indicating FCOI Training has not yet been completed.**

A Significant Financial Interest or reimbursed or paid travel must be disclosed at the time of the proposal submission, but approval of the conflict of interest (with conditions if warranted) need not occur until the project has been funded, but must occur 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. An Investigator must file a new disclosure within 30 days 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 University's designated official(s) is responsible for reviewing each disclosure to determine if the financial interest disclosed could be affected by the proposed research or if the research could be affected by the financial interest and if a conflict of interest exists. Under the federal regulations, if a Significant Financial Interest may directly and significantly affect the design, conduct, or reporting of the research, a financial conflict will be deemed to exist. The University is required to eliminate the conflict or develop a management plan to manage the conflict. Public disclosure of the conflict is required. Conditions that might be imposed include modification of the research design or monitoring of the research by independent reviewers. If adequate measures are not feasible, the person disclosing may have to discontinue the compensated activities or divest themselves of the financial interest, or discontinue the research. The person disclosing must abide by the conditions under which the research is permitted.

I declare that the information being disclosed is true and accurate under the regulations.

Sign: \_\_\_\_\_ Role: Check one, PI  Co-PI  Other Key Personnel

Print Name: \_\_\_\_\_ Date: \_\_\_\_\_

**PHS FCOI Reimbursed or Paid Travel Disclosure Form**

**DSR-05 PHS (part 2)**

**Reimbursed or Paid Travel Disclosure Form. Add additional sheets for each reimbursed or paid travel you are disclosing.**

In the twelve months preceding this disclosure I have received reimbursed or paid travel.

1. The date of the travel was \_\_\_\_\_
2. The identity of the company/organizer of the travel was \_\_\_\_\_
3. The destination was \_\_\_\_\_
4. Did your spouse or dependent children accompany you, and if yes who paid for their travel?  
\_\_\_\_\_
5. The monetary value of the travel was \_\_\_\_\_
6. The purpose of the travel was \_\_\_\_\_

I declare that the above information being disclosed concerning travel is true and accurate under the regulations.

Sign: \_\_\_\_\_ Role: Check one, PI\_\_\_\_ Co-PI\_\_\_\_ Other Key Personnel \_\_\_\_

Print Name: \_\_\_\_\_ Date: \_\_\_\_\_