

Financial Disclosure Statement as Required by System Regulation 15.01.03

Name: Date:

College/Dept./Agency: Title:

UIN: Adloc:

Do you, or any covered family member, have any Significant Financial Interests (SFIs) related to your institutional responsibilities as defined in System Regulation 15.01.03? Yes No

-If your answer is "NO," then sign the CERTIFICATION below and return this form to your COI Official.

-If your answer is "YES," then please complete the remainder of the form before signing and returning to your COI Official.

SFIs RELATED TO INSTITUTIONAL RESPONSIBILITIES (as defined in System Regulation 15.01.03)

Owner (PI/Covered Family Member)	Source	Description (e.g., salary, royalty interest, sponsored travel)	Value (in whole \$)	Related to Research?

If necessary, add pages.

RESEARCH OR RESEARCH ACTIVITY (as defined in System Regulation 15.01.03) Please fill out this portion if any SFI identified above is related to research.

Project #	Project Title & Description	Funding Agency/Entity	Budget (in whole \$)

If necessary, add pages.

CERTIFICATION

I certify that the information provided in this form is true and correct to the best of my knowledge. I further certify that I have read System Regulation 15.01.03 *Financial Conflicts of Interest in Sponsored Research* and the applicable system member rule and that I am aware of and understand my responsibilities and applicable federal regulations and system policies regarding disclosure of Significant Financial Interests.

Signature: Date:

Instructions

Conflict of Interest Financial Disclosure Statement

- Complete the top portion of the form (Name, Date, College/Dept./Agency, Title, UIN and Adloc).
 - If the Financial Disclosure Statement is made on behalf of a Covered Family Member, use the following format for the "Title" field: "Covered Family Member, [spouse, son, daughter of (insert Investigator Name)]"
- If you DO NOT have any Significant Financial Interests (SFIs) related to your institutional responsibilities as defined in System Regulation 15.01.03, sign the certification portion of the Financial Disclosure Statement form and email the form to your COI Official.
- If you DO have any Significant Financial Interests (SFIs) related to your institutional responsibilities as defined in System Regulation 15.01.03, complete the sections titled SFIs Related to Institutional Responsibilities and Research or Research Activity. Sign the certification portion of the Financial Disclosure Statement form and email the form to your COI Official.

Financial Disclosure Statement Submission Requirements:

Investigators shall submit or update a Financial Disclosure Statement to the system member's COI Official:

- (a) Within 30 days of the Investigator's initial employment date;
- (b) Annually not later than August 31st;
- (c) Within 30 days after acquiring a new SFI requiring disclosure; and
- (d) For those Investigators participating in PHS-funded research, not later than the application date for PHS-funded research, except that an Investigator who will be participating in an ongoing PHS-funded research project must submit a Financial Disclosure Statement within 30 days of the Investigator's initial employment date.

Definitions:

Covered Family Member includes an Investigator's spouse, dependent child, stepchild or other dependent, for purposes of determining federal income tax liability during the period covered by the financial disclosure statement, and a related or non-related, unmarried adult who resides in the same household as the Investigator and with whom the Investigator is financially interdependent as evidenced, for example, by the maintenance of a joint bank account, mortgage, or investments.

Institutional Responsibilities means an Investigator's professional responsibilities within the Investigator's field of discipline on behalf of a system member, including teaching, research, research consultation, professional practice, committee memberships, and service on panels such as an Institutional Review Board (IRB). This term includes consulting and other external employment approved under System Regulation 31.05.01 - *Faculty Consulting, External Employment, and Conflicts of Interest*. However, this term does not include external employment approved under System Regulation 31.05.02 - *External Employment*.

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 or Research Activities.

Research or Research Activities means any systematic investigation, study or experiment designed to develop or contribute to generalizable knowledge. The term encompasses basic and applied research, scholarship (e.g., a published article, book, or book chapter) and product development (e.g., a diagnostic test or drug). The term also includes educational activities funded by the National Science Foundation (NSF) or proposed for funding by NSF.