

Financial Interest Disclosure Form for Tufts University Investigators

All investigators proposing to do research must complete this form and return it to the Office of Research Administration prior to or when submitting a funding proposal. Information disclosed will be treated confidentially by the ORA strictly on a need to know basis. The form must be signed by the investigator and if there are any affirmative responses, also by his or her department chairperson. If the department chairperson is directly involved in the research, the dean must sign in the space designated for the department chair. It is the responsibility of the Investigator to update this information promptly if it should change prior to completion of the study. It is the responsibility of the principal investigator (PI) to ensure that each Investigator working under his or her supervision on this research project submits this disclosure form when required by the Tufts University Policy on Conflict of Interest in Research: <http://viceprovost.tufts.edu/research-policies/conflict-of-interest/>. Pertinent **Definitions** can be found on the last page of the form.

Section 1 – Information and Questions for ALL Projects

Name of Investigator:
Date FCOI training was completed:
Research Project Proposal Title:
Funding Agency or Organization:
Do you have any ownership interest in any entity providing funds for this research? Yourself: <input type="checkbox"/> Yes <input type="checkbox"/> No Your Family: <input type="checkbox"/> Yes <input type="checkbox"/> No
Do you have any ownership interest in any entity that owns intellectual property that could reasonably appear to be affected by this research project? Yourself: <input type="checkbox"/> Yes <input type="checkbox"/> No Your Family: <input type="checkbox"/> Yes <input type="checkbox"/> No
Do you have any ownership interest in any entity that could reasonably appear to be affected by this research project? Yourself: <input type="checkbox"/> Yes <input type="checkbox"/> No Your Family: <input type="checkbox"/> Yes <input type="checkbox"/> No
Do you serve as a paid consultant, officer, administrator, board member, or speaker for any entity that is providing funds for this research, that could reasonably appear to be affected by this research, or that has an interest in intellectual property that could reasonably appear to be affected by this research? Yourself: <input type="checkbox"/> Yes <input type="checkbox"/> No Your Family: <input type="checkbox"/> Yes <input type="checkbox"/> No
Have you received in the last 12 months or will you receive in the next 12 months more than \$5,000 (in cash or of monetary value) from an entity that could reasonably appear to be affected by this research (other than your salary from Tufts)? To answer this question, you should add the amount you receive to the amount(s) family members receive. Yourself: <input type="checkbox"/> Yes <input type="checkbox"/> No Your Family: <input type="checkbox"/> Yes <input type="checkbox"/> No
Is there anything not covered in the above questions that you believe might constitute a potential conflict of interest or create the appearance of being a conflict of interest related to this research? Yourself: <input type="checkbox"/> Yes <input type="checkbox"/> No Your Family: <input type="checkbox"/> Yes <input type="checkbox"/> No

**If this is a Non-federal Project, PROCEED to Section 3.
For federal projects CONTINUE to Section 2.**

Section 2 – Additional Questions Applicable to Federal Projects

Do you (or your spouse or dependent children) have a significant financial interest (SFI) that could reasonably appear to *be related to the your institutional responsibilities* which *when aggregated would exceed the value of \$5,000*:

Yourself: Yes No

Your Family: Yes No

Did you receive *any* reimbursement for travel or sponsored travel related to your institutional responsibilities from an entity other than the following:

- 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.

Yes No

Section 3 – Detailed Financial Disclosure

If you answered YES to any question on this form, specifically describe the financial interest or affiliation and its relationship to this research project or in the case of a federal project, your institutional responsibilities, in the space provided here. If the interest consists of money or something else of value that you or your family members have received or will receive, you must disclose the amount of money or value. If the interest consists of equity that you own, you must provide the current value (if any) of the equity and the percentage of ownership of the company that it represents. **You may use the space below or attach an additional sheet if needed.**

- Entity name from which you or your family received or will receive remuneration:

- Dollar amount or value of your financial disclosure including percent interest in entity:

- Relationship to the entity:

Travel Disclosure:

- Dollar amount or value if known: _____
- Purpose of trip: _____
- Sponsor Name: _____
- Destination: _____
- Duration: _____

Investigator Certification

By signing below, the Investigator hereby certifies that all of the information contained on this form is true and correct to the best of his or her knowledge and that he or she has made reasonable efforts to assure that accurate and complete information has been provided.

By signing below, investigators acknowledge, among other things, the University's policy on financial conflicts of interest, the Investigator's responsibilities regarding disclosure of significant financial interests, and of 42 CFR 50, subpart F, Promoting Objectivity in Research

Signature of Investigator

Date

Section 4 – Administrator Certification

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

- A significant financial Interest (SFI) was disclosed and will I defer to the CCIR to determine whether the SFI is a financial conflict of interest and if it is related to this project.
- A conflict of interest exists and the department cannot recommend approval of this activity.
- A conflict of interest exists but it is minimal (less than \$5,000 per year) for projects and the department does NOT recommend management, reduction or oversight.
- A conflict of interest exists but it can be reduced, eliminated or managed as described in the space below or attach a separate sheet of paper if necessary:

Department Chairperson's Signature*

Date

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

* Dept. Chair's signature is only required when there is an affirmative response, that is, a SFI is disclosed.

Definitions

Family is defined as spouse/domestic partner and dependent children

Federally Funded means any funding ie., grant, cooperative grant, contract, received from any United States government agency, department or entity

Financial Interest means anything of monetary value, whether or not the value is readily ascertainable.

Institutional Responsibilities means an Investigator's professional responsibilities on behalf of Tufts University. That is, all activities that derive or descend from the investigator's standing or expertise and are tied to those responsibilities and activities the investigator was hired to perform and for which the investigator is paid by the University. Some examples are, research, teaching, professional practice, institutional committee memberships, and service on panels such as Institutional Review Boards or Data and Safety Monitoring Boards.

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, or proposed for such funding, which may include, for example, collaborators or consultants.

Significant financial interest means:

A financial interest consisting of one or more of the following interests of the Investigator (and those of the Investigator's spouse and dependent children) that reasonably appears to be related to the Investigator's institutional responsibilities:

- 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 in the entity as of the date of disclosure, when aggregated, exceeds \$5,000.

For purposes of this definition, remuneration includes:

- 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;
- 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, when aggregated, exceeds \$5,000, or when the Investigator (or the Investigator's spouse or dependent children) holds any equity interest (e.g., stock, stock option, or other ownership interest); or
- Intellectual property rights and interests (e.g., patents, copyrights), upon receipt of income related to such rights and interests.
- Investigators also **must disclose** the occurrence of **any reimbursed or sponsored travel related to their institutional responsibilities**? For example, costs that were paid on your behalf and not reimbursed to you so that the exact monetary value may not be readily available provided, however, that this disclosure requirement does not apply to travel that is reimbursed or sponsored by:
 - 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.
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- The details of this disclosure will include, at a minimum,
 - the dollar amount or value
 - the purpose of the trip,
 - the identity of the sponsor/organizer,
 - the destination, and
 - the duration.