In accordance with the Disclosure of Financial Interests and Management of Conflicts of Interest Related to Public Health Services Sponsored Awards for Research (42 C.F. Part 50, Subpart F and 45 C.F.R., Part 94), the Principal Investigator and all other FHSU investigators must disclose their personal significant financial interests (and those of their spouse/registered domestic partner and/or dependent children) related to their institutional responsibilities. This includes the Principal Investigator, Co-Investigators, Senior and Key Personnel, and any other individual who is responsible for the design, conduct, or reporting of research funded by PHS or an agency or organization that follows PHS disclosure requirements (for example, American Heart Association, American Cancer Society, etc.).

Project Information

|  |  |
| --- | --- |
| Principal Investigator:  | Department: |
| PI Email: | Project Begin Date: | Project End Date: |
| Project Title: |
| Sponsor: PHS Other (e.g., American Heart Association, American Cancer Society): Subcontract of PHS Funds from  |

Type of Proposal/Disclosure

New Proposal Supplemental Funding Which Includes Time Extension

Annual Reporting/Non-Competing Continuation No-Cost Time Extension

Renewal/Competing Continuation New Investigator Added to Project

Principal Investigator Disclosure

For the purpose of this disclosure form, Institutional Responsibilities means an Investigator’s teaching/education, research, outreach, clinical service, and University and public service on behalf of Fort Hays State University are in the course and scope of the Investigator’s FHSU appointment/employment.

1. Publicly Traded Entity

Income and Equity Interests

Have you, your spouse or registered domestic partner, and/or dependent children 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

2. Non-Publicly Traded Entity

Income

Have you, your spouse or registered domestic partner, and/or dependent children received income or other payment for services, in the past 12 months, exceeding $5,000, when aggregated, from any non-publicly traded entity? This does not include payments from the University, or income from seminars, lectures, or teaching engagements sponsored 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

Equity Interests

Do you, your spouse or registered domestic partner, and/or dependent children currently own, or have acquired in the past 12 months, 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. Intellectual Property Rights and Interests

Have you, your spouse or registered domestic partner, and/or dependent children 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 The Regents) exceeding $5,000 related to your institutional responsibilities?

Yes No

4. Travel Reimbursement/Sponsorships

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 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

Acknowledgement and Certification

I certify under penalty of perjury that this is a complete disclosure of all my significant financial interests related to my institutional responsibilities and I have used all reasonable diligence in preparing this Financial Interest Disclosure, and to the best of my knowledge it is true and complete. I also acknowledge that by signing my name below that it is my responsibility to disclose, within 30 days, any new significant financial interests obtained during the term of the above proposed project.

Signature of Principal Investigator: Date:

Printed Name: The information provided herein may be released or transmitted to the sponsor, including federal agency representatives, upon request. These records will be retained for 3 years after termination of sponsored project or until resolution of any action by the sponsor, whichever is greater. The Office of Record is the Office of Scholarship and Sponsored Projects.

Attach additional sheets as required to identify and include financial disclosure information for all project Investigators

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Project Information

|  |  |
| --- | --- |
| Principal Investigator: | Department: |
| Disclosing Investigator: | Disclosing Investigator Email: |
| Project Begin Date: | Project End Date: |
| Project Title: |
| Sponsor: PHS Other (e.g., American Heart Association, American Cancer Society): Subcontract of PHS Funds from  |

Type of Proposal/Disclosure

New Proposal Supplemental Funding Which Includes Time Extension

Annual Reporting/Non-Competing Continuation No-Cost Time Extension

Renewal/Competing Continuation New Investigator Added to Project

Investigator Disclosure

1. Publicly Traded Entity

Income and Equity Interests

Have you, your spouse or registered domestic partner, and/or dependent children 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

2. Non-Publicly Traded Entity

Income

Have you, your spouse or registered domestic partner, and/or dependent children received income or other payment for services, in the past 12 months, exceeding $5,000, when aggregated, from any non-publicly traded entity? This does not include payments from the University, or income from seminars, lectures, or teaching engagements sponsored 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

Equity Interests

Do you, your spouse or registered domestic partner, and/or dependent children currently own, or have acquired in the past 12 months, 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. Intellectual Property Rights and Interests

Have you, your spouse or registered domestic partner, and/or dependent children 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 the University) exceeding $5,000 related to your institutional responsibilities?

Yes No

4.TravelReimbursement/Sponsorship

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 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

5.Acknowledgment and Certification

I certify under penalty of perjury that this is a complete disclosure of all my significant financial interests related to my institutional responsibilities and I have used all reasonable diligence in preparing this Financial Interest Disclosure, and to the best of my knowledge it is true and complete. I also acknowledge that by signing my name below that it is my responsibility to disclose, within 30 days, any new significant financial interests obtained during the term of the above proposed project.

Signature of Investigator: Date:

Printed Name: The information provided herein may be released or transmitted to the sponsor, including federal agency representatives, upon request. These records will be retained for 3 years after termination of sponsored project or until resolution of any action by the sponsor, whichever is greater. The Office of Record is the Office of Scholarship and Sponsored Projects.

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.

Financial Conflict of Interest: A conflict of interest that arises in a situation in which a Significant Financial Interest of a Covered Person compromises or has the appearance of compromising the fulfillment of professional duties; teaching, clinical or scientific judgment; integrity of research data and the research process; or the safety and welfare of patients and/or research subjects.

Remuneration includes salary and any payment for services not otherwise identified as salary (e.g., consulting or other fees, honoraria, paid authorship, commissions, etc.)

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.

Governmental or Educational Entities include federal, state, or local government agencies; institutions of higher education as defined at 20 U.S.C. 1001(a); and academic teaching hospitals, medical centers, or research institutes affiliated with an institution of higher education

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 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 spouse and dependent children) 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 spouse, and dependent children from a single Entity (Business, Public or Nonprofit) including salary, consultant payments, honoraria, royalty payments, dividend, loan, or any other payments or consideration with value, including payments made to the University of California Health Sciences Compensation Plans during the prior twelve months. 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). Exclude 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 UC Regents 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:

* salary, royalties, or other remuneration paid by the University to the individual if the individual is currently employed or otherwise appointed by the University, including intellectual property rights assigned to the University and agreements to share in royalties related to such rights;
* income from investment vehicles, such as mutual funds and retirement accounts, as long as the individual does not directly control the investment decisions made in these vehicles;
* income or other benefits for certain activities sponsored by or in the service of Governmental or Educational Entities (defined above), as follows: seminars, lectures, or teaching engagements, service on advisory committees or review panels or reimbursed or sponsored travel.

What are institutional responsibilities?

“Institutional Responsibilities” is defined as teaching/education, research, outreach, clinical service, training and University and public service, on behalf of Fort Hays State University and directly related to those credentials, expertise and achievements upon which the Investigator’s FHSU position is based.