

LOYOLA UNIVERSITY NEW ORLEANS SIGNIFICANT FINANCIAL INTEREST DISCLOSURE AND CERTIFICATION FORM (SUBRECIPIENT) – PHS

Investigator, Role¹: _____
Institution, Title: _____
Phone no. and Email: _____
Project Title: _____
PI/Sponsor: _____

DEFINITIONS

“**Financial interest**” means anything of monetary value, whether or not the value is readily ascertainable.

“**Investigator**” means the Project Director or Principal Investigator (PD/PI) and any other person, regardless of title or position, who is responsible for the design, conduct, or reporting of research funded by the Public Health Service, or proposed for such funding, including persons who are sub-grantees, contractors, consortium participants, collaborators, or consultants.

“**Significant Financial Interest (SFI)**” means:

(1) 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 appear to be related to the Investigator’s institutional responsibilities:

(i) With regard to any publicly traded entity, an **SFI** 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;

(ii) With regard to any non-publicly traded entity, an **SFI** exists (a) if the value of any remuneration received from the entity in the twelve months preceding the disclosure, when aggregated, exceeds \$5,000, or (b) when the Investigator (or the Investigator’s spouse or dependent children) holds any equity interest (*e.g.*, stock, stock option, or other ownership interest) [regardless of value]; or

(iii) Intellectual property rights and interests (*e.g.*, patents, copyrights), upon receipt of income related to such rights and interests [regardless of value].

(2) Investigators also must disclose the occurrence of any reimbursed or sponsored travel (*i.e.*, that which is paid on behalf of the Investigator and not reimbursed to the Investigator so that the exact monetary value may not be readily available), related to their institutional responsibilities; provided, however, that this disclosure requirement does not apply to travel that is reimbursed or sponsored by:

- A Federal, state, or local government agency;
- Loyola University or another 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) The term **significant financial interest** does not include the following types of financial interests:

- Salary, royalties, or other remuneration paid by Loyola to the Investigator if the Investigator is currently employed or otherwise appointed by the Institution, including intellectual property rights assigned to the Institution and agreements to share in royalties related to such rights;
- Any ownership interest in the Institution held by the Investigator, if the Institution is a commercial or for-profit organization;
- Income from investment vehicles, such as mutual funds and retirement accounts, as long as the Investigator does not directly control the investment decisions made in these vehicles;

¹ Specify role as co-Principal Investigator, co-Investigator, (other) Collaborator, Consultant, Graduate Student, etc.

- 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; or
- Income from service on advisory committees or review panels for 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.

CHECK ONE (WORKSHEET AVAILABLE ON P. 4.)

- At this time, I—including my spouse and all dependent children—have no significant financial interest to disclose.** You should not limit your disclosures to interests that are, or reasonably appear to be, related to this project, as the above-given definition of an SFI defines the scope of your interests in terms of the broader scope of your institutional responsibilities.

If you check this box, skip to CERTIFICATION, page 3.

- I have one or more significant financial interests to disclose.** (If you check this box, continue with the Disclosure(s) section below and identify each. If you have more than two SFIs to disclose, insert additional pages as necessary.)

DISCLOSURE(S)

1. Provide the name of the entity in which you hold interest or that has supported or will support your travel.

Address of entity: _____

Principal type of business: _____

Describe the nature of this interest (i.e., equity, consulting fees, travel support; if travel, specify trip dates and destination).

Briefly explain the relationship of this interest to your institutional responsibilities and/or this project—and discuss why you believe that it will or will not, affect the design, conduct, or reporting of the research associated with this project.

Value of the SFI (ranges, such as \$5000-\$9999, are acceptable): _____

2. Provide the name of the entity in which you hold interest or that has supported or will support your travel.

Address of entity: _____

Principal type of business: _____

Describe the nature of this interest (i.e., equity, consulting fees, travel support; if travel, specify trip dates and destination).

Briefly explain the relationship of this interest to your institutional responsibilities and/or this project—and discuss why you believe that it will or will not, affect the design, conduct, or reporting of the research associated with this project.

Value of the SFI (ranges, such as \$5000-\$9999, are acceptable): _____

CERTIFICATION

- I understand and will fully comply with Loyola’s university-wide policy regarding conflicts of interests and with the Office of Grants and Sponsored Programs Conflict of Interest Disclosure Policy for PHS-Funded Sponsored Projects (<http://academicaffairs.loyno.edu/grants-research/conflicts-interests-coi>).
- I agree to update this disclosure either on an annual basis or within five (5) working days of any reportable change in my SFI status (or within my institution’s deadline for disclosure updates, whichever comes first); and I understand that no disclosure will be considered to have been made until the complete and certified disclosure form is received by the Loyola University New Orleans Office of Grants and Sponsored Programs, 6363 St. Charles Avenue, New Orleans, LA 70118, gro@loyno.edu.
- As per this policy, I agree to cooperate in the development of a plan to address any actual or potential financial conflict of interest identified via this disclosure and to comply with any conditions or restrictions imposed by the Loyola University New Orleans Office of Grants and Sponsored Programs to manage, reduce, or eliminate actual or potential conflicts of interest, as failure to do so may result in my institution’s forfeiture of award funds.

Endorsements: I have reviewed this disclosure form, and will assist the Loyola University Office of Grants and Sponsored Programs in determining and executing a resolution plan to manage, reduce, or eliminate any actual or potential conflict of interest within the time frame specified by that office.

Signed: _____
Investigator

Date: _____

Institutional Endorsements: I have reviewed this disclosure form, and will assist the Loyola Office of Grants and Sponsored Programs in determining and executing a resolution plan to manage, reduce, or eliminate any actual or potential conflict of interest within the time frame specified by that office.

By signing this form, I am certifying that my institutions’ policy is sufficient to meet the requirements of the NSF policy guidelines.

Should my institution not have a policy meeting these requirements, I will convey this fact on the bottom of this page, and if this project is funded, I will assist the Loyola University Office of Grants and Sponsored Programs in ensuring that all Investigators from my institution who are associated with this sponsored project follow the Loyola university-wide policy regarding conflicts of interest.

Signed: _____

Date: _____

Signatory Authority
Title: _____

SFI WORKSHEET

Questions (see Exclusions, below)

If you've answer no to questions 1-3 above, then you have no SFI to report.

1. **Publicly traded entities.** Have you received any salary, consulting fees, honoraria, paid authorships or other payments for services in the past twelve months or do you hold any equity interest (stock, stock option or other ownership interest) that, when aggregated, exceeds \$5,000?
Y N

2. **Non-publicly-traded entities:**
 - a. Have you received any salary, consulting fees, honoraria, paid authorships, or other payments for services that, when aggregated, exceed \$5,000?
Y N

 - b. Do you hold any stock, stock option or other ownership or equity interest of any value?
Y N

3. **Intellectual property rights and interests.** Do you own any patents, copyrights or other property rights or interests?
Y N

Exclusions

None of the following should be included as an SFI or as contributing to a SFI.

- Salary, royalties, or other remuneration paid by the Institution to the Investigator if the Investigator is currently employed or otherwise appointed by the Institution, including intellectual property rights assigned to the Institution and agreements to share in royalties related to such rights;
- Any ownership interest in the Institution held by the Investigator, if the Institution is a commercial or for-profit organization;
- Income from investment vehicles, such as mutual funds and retirement accounts, as long as the Investigator does not directly control the investment decisions made in these vehicles;
- 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; or
- Income from service on advisory committees or review panels for 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.