SOUTHWESTERN OKLAHOMA STATE UNIVERSITY CONFLICT OF INTEREST DISCLOSURE FORM

Investigator's Name: _____ Name of Institution:

This Disclosure is:

☐ my initial Disclosure ☐ an addendum to my most recent Disclosure
☐ my annual Disclosure ☐ an addendum for travel purposes only to my most recent Disclosure

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Purpose
The form you are about to complete was designed for you to satisfy the disclosure requirements mandated by the Federal Public Health Service (PHS) regulations (42 CFR Part 50 and 45 CFR Part 94) on *Promoting Objectivity in Research*. This Disclosure should reflect those significant financial interests that are related to your organizational responsibilities at Southwestern Oklahoma State University.

Definitions

Investigator: Principal Investigator, Co-Principal Investigator, and any other person at the institution who is responsible for the design, conduct, or reporting of a sponsored activity funded or proposed for funding by an external sponsor.

Entity: Any non-Southwestern Oklahoma State University, domestic or foreign, public or private, organization (excluding a U.S. Federal agency) from which you (and your spouse or dependent children) receive remuneration or have an ownership or equity interest.

Equity: Any stock, stock option, or other ownership interest, whether or not the value can be determined through reference to public prices or other reasonable measures of fair market value.

Remuneration: Any payment received from an outside entity in any form, including, but not limited to, stocks, bonds, stock options, warrants, partnership interests, rights to patent or royalty payments, consulting fees, honoraria, speaking fees, salary, loans, lectureship fees, or fees for serving on boards of directors, scientific and other advisory boards.

Significant Financial Interest: Anything of monetary value received directly or indirectly from a sponsor in excess of $5,000, or more than a 5% ownership interest for the investigator, his or her spouse, and dependent children combined.

According to the 42 CFR, Chapter I, Subchapter D, Part 50, monetary value can include, but is not limited to:

1. 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;

2. 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
3. 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 (*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, 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. The Institution's FCOI policy will specify the details of this disclosure, which will include, at a minimum, the purpose of the trip, the identity of the sponsor/organizer, the destination, and the duration. In accordance with the Institution's FCOI policy, the institutional official(s) will determine if further information is needed, including a determination or disclosure of monetary value, in order to determine whether the travel constitutes an FCOI with the PHS-funded research.

The term *significant financial interest* does not include the following types of financial interests: 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.

Non-Reportable Interests include:

- Financial interests or activities that do not relate to your academic or professional work at Southwestern Oklahoma State University;
- Salary support received through Southwestern Oklahoma State University or salary support through Southwestern Oklahoma State
- University-administered sponsored awards; Income from investment vehicles, such as mutual funds and retirement accounts, as long as you do not directly control the investment decisions made in these vehicles;
- Travel expenses paid by Southwestern Oklahoma State University or by a sponsored research award to Southwestern Oklahoma State University;
- Income from seminars, lectures, and teaching engagements sponsored by U.S. Federal, state or local government agencies; U.S.

Institutions of Higher Education or U.S. research institutes; U.S. academic teaching hospitals or U.S. medical centers that are affiliated with U.S. Institutions of Higher Education;

- Income from service on advisory committees or review panels for U.S. Federal, state or local government agencies; U.S. Institutions of Higher Education or U.S. research institutes; U.S. academic teaching hospitals or U.S. medical centers that are affiliated with U.S. Institutions of Higher Education; or
- Compensated activities and income derived from U.S. Government or non-profit research entities.

Publicly Traded Entities: In accordance with PHS regulations, a *significant financial interest* exists if the value of any remuneration received from any publicly traded 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.

1. **(a) During the past 12 months, did you, your spouse or your dependent children receive *remuneration* such as consulting fees, honoraria, speaker fees, advisory board fees from ANY publicly traded *entity* that, when combined, amounted to greater than $5,000**
   (U.S. dollars)?
   *Because PHS regulations do not exclude income from authorship activities, you must include them in your response to this question. Please do **not** include equity, royalties or other payments on intellectual property rights in your response to this question.*

NO ____ **YES**____ If yes, complete table below:

Name of Entity	**Type of Business**	**Amount in U.S. Dollars**	**Activity**	**Individual Receiving Remuneration: You/Spouse/Dependent Children**

1. **(b) As of the date of this disclosure, do you, your spouse or your dependent children hold any *equity* interests in a *publicly traded entity*? If so, does the value of this *equity* exceed $5,000 (U.S. dollars) either on its own OR when combined with any other remuneration from the same *entity*?**

NO ___ **YES**___If yes, complete table below:

Name of Entity	Type of Business	Type of Equity	Value in U.S. Dollars	Individual Holding the Equity: You/Spouse/Dependent Children

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Non-Publicly Traded Entities According to PHS regulations, a *significant financial interest* exists if the value of any remuneration received from any non-publicly traded entity in the twelve months preceding the disclosure, when aggregated, exceeds $5,000 (in U.S. dollars), or when you (or your spouse or dependent children) holds any equity interest in the same entity.
For purposes of the PHS regulations and this question, remuneration includes salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship). Equity interests include stock, stock options, or other ownership interests.

2. **(a) During the past 12 months, did you, your spouse or your dependent children receive any remuneration from ANY non-publicly traded *entity* that when combined amounted to greater than $5,000 U.S. dollars?**
Because PHS regulations do not exclude income from authorship activities, you must include them in your response to this question. Please do not include royalties or other payments on intellectual property rights in your response to this question.

NO ___ **YES**___If yes, complete table below:

Name of Entity	Type of Business	Amount in U.S. Dollars	Activity	Individual Receiving Remuneration: You/Spouse/Dependent Children

2. (b) During the past 12 months, did you, your spouse or your dependent children hold ANY equity interests in any non-publicly traded entity?

NO ____ **YES**____If yes, complete table below:

Name of Entity	Type of Business	Type of Equity	Value in U.S. Dollars	Individual Holding the Equity: You/Spouse/Dependent Children

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3. During the past 12 months, did you, your spouse or your dependent children receive any *remuneration* from a non-profit *entity* that when combined amounted to greater than $5,000 U.S. dollars?

Because PHS regulations do not exclude income for authorship activities or income from external professional organizations, you must include them in your response to this question. Also in accordance with PHS regulations, you must include income from a foreign institution of higher education or the government of another country in your response to this question.

Do not include the following:

- Income from seminars, lectures and teaching engagements sponsored by U.S. Federal, state or local government agencies; U.S. Institutions of Higher education or U.S. research institutes; U.S. academic teaching hospitals or U.S. medical centers that are affiliated with U.S. Institutions of Higher Education;
- Income from service on advisory committees or review panels for U.S. Federal, state or local government agencies; U.S. Institutions of Higher Education or U.S. research institutes; U.S. academic teaching hospitals and U.S. medical centers that are affiliated with U.S. Institutions of Higher Education; and
- Royalties or other payments on intellectual property rights in your response to this question.

NO ___ **YES**___If yes, complete table below:

Name of Entity	**Amount in U.S. Dollars**	**Activity**	**Individual Receiving Remuneration: You/Spouse/Dependent Children**

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5. **4. During the past 12 months, did a third party pay for greater than $5,000 (U.S. dollars) of travel for you, your spouse or your dependent children related to your responsibilities at Southwestern Oklahoma State University?** *For the purposes of this disclosure, travel costs are those that exceed $5,000 U.S. dollars (either for one trip or a combination of trips from a single entity). Travel costs include meals, transportation, lodging, and registration fees.*

Third party paid travel means:

- Third party directly pays in whole or in part for travel on your behalf;
- You pay for travel and third party reimburses you in whole or in part; or
- Southwestern Oklahoma State University pays in whole or in part for travel and the third party reimburses Southwestern Oklahoma State University.

PHS regulations **include** travel paid by:

- For-profit entities
- Non-profit entities including external processional organizations and societies
- Academic journals and publishing companies; and
- A foreign institution of higher education or the government of another country.

PHS regulations **exclude** travel paid by:

- U.S. Federal, state or local government agencies;
- U.S. Institutions of Higher Education or U.S. research institutes; and
- U.S. academic teaching hospitals or U.S. medical centers that are affiliated with U.S. Institutions of Higher Education.

NO ____ **YES**____If yes, complete table below:

Destination	**Duration of Trip**	**Estimated Value in U.S. Dollars**	**Purpose**	**Sponsor/Organizer Who Paid for the Travel**

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5. During the past 12 months did you, your spouse, or your dependent children have any income greater than $5,000 for intellectual property rights (e.g., patents, patent applications, license agreements, or copyrights) resulting from or related to your work at Southwestern Oklahoma State University?

Do not include payments from or intellectual property owned by Southwestern Oklahoma State University.

NO ____ **YES**____If yes, complete table below:

Short Description of Invention/IP	**Is it Licensed/Patented/Patent Pending?**	**If receiving royalties/other payments greater than $5,000, indicate the name of the entity providing the royalty/payment.**

Certification:

I certify that I have read and understand Southwestern Oklahoma State University's Financial Interest Disclosure Policy and have completed this Disclosure to the best of my knowledge and belief. Further, as someone who is identified as an investigator on a PHS proposal/award, subaward, or non-federal sponsor adopting the Public Health Services (PHS) regulations, I agree to comply with PHS regulatory requirements adopted as Southwestern Oklahoma State University's policy as well as acknowledge the following:

- No later than at the time of proposal/application I will ensure that a current financial interest disclosure is on file;
- I will fulfill my disclose responsibilities at least annually or within 30 days of discovering or acquiring (e.g., through purchase, marriage, or inheritance) a new SFI during the period of the award whichever comes first, including the occurrence of any reimbursed or sponsored travel which is paid on my behalf, related to my responsibilities at Southwestern Oklahoma State University;
- If I fail to report a new SFI within 30 days, I will willingly participate in the required retrospective review of my research in order to determine bias;
- I will comply with the decisions of the designated university official reflected in a management plan, if one is issued;
- If I am a PI, I will appropriately identify individuals (i.e.," investigators"), if any, in my proposal who are responsible for the conduct, design, or reporting of the research. I will take into consideration the role of the investigator, rather than their title and the degree of independence with which the investigator will work;
- If I am a PI, I will complete my progress report in a timely fashion to assist with the PHS reporting requirements related to any identified and previously reported FCOIs;
- That Southwestern Oklahoma State University must comply with written requests for information regarding my reported FCOIs. Southwestern Oklahoma State University's response must be within 5 business days and will include:
    - My name;
    - My title and role with respect to the research project;
    - The name of the entity in which the significant financial interest is held;
    - The nature of the significant financial interest; and
    - The approximate dollar value of the significant financial interest will be provided in the following dollar ranges: $0–$4,999; $5,000–$9,999; $5,000–$19,999; amounts between $20,000–$100,000 by increments of $20,000; amounts above $100,000 by increments of $50,000), or a statement that the interest is one whose value cannot be readily determined through reference to public prices or other reasonable measures of fair market value; and
- That Southwestern Oklahoma State University may impose sanctions on me if I fail to comply with the PHS regulations and Southwestern Oklahoma State University's policy.

By signing and submitting this form, both parties, the Principal Investigator and the Designated University Official, certify that they have read, understand, and agree to the terms of the **Managing Conflicts of Interest Policy**.

Investigator's Signature Date

Designated Official Signature and Ttile Date