

Award Number:

UNIVERSITY OF BATH – RIS FORM

Disclosure of Significant Financial Interests for US PHS (including NIH and FDA) Applications and Awards

The purpose of this form is to ensure that Significant Financial Interests¹ are disclosed by Investigators² and, if these are considered to present a Financial Conflict of Interest³, that these are reduced, managed or eliminated.

This form should be completed every time an application is made and annually once grant is awarded or within 30 days if a Significant Financial Interest arises during the research award.

Please see overleaf for information to help you complete this declaration.

Investigator Name..... Application or Project Code.....

Department..... US PHS Agency (e.g. NIH).....

Project Title.....

I am reporting on activities: for the preceding 12 months from..... as an addendum to my most recent report

Table with 4 rows and 3 columns. Columns: 'yes' checkbox, 'no' checkbox, and question text. Questions cover Compensation, Equity, Role, and Intellectual Property > \$5000.

I acknowledge that I will disclose promptly to the University of Bath (and within 30 days of acquiring) any new SFI that may arise after submission of this form. I understand and consent that the information provided on this form will be held and processed by the University of Bath for the purposes of maintaining a register of declarations of SFI; managing any SFI and reporting to the US PHS funder accordingly; providing responses to any request for information regarding any identified SFI made by members of the public or the US PHS funder, subject to the provisions of the Data Protection Act 1998, within five business days of receiving such a request. I understand that the University of Bath will continue to hold this data and any related documents for at least 3 years from the date of the final expenditure report.

Signed..... Date.....

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List of US Public Health Service Agencies (PHS): NIH, FDA, CDC, AHRQ, ATSDR, HRSA, IHS, SAMHSA

The full text of the NIH's regulations (entitled *Responsibility of Applicants for Promoting Objectivity in Research for which Public Health Service Funding is Sought and Responsible Prospective Contractors*) is at: http://grants.nih.gov/grants/policy/coi/coi_final_rule.pdf

FAQ's about Financial Conflicts of Interest: http://grants.nih.gov/grants/policy/coi/coi_faqs.htm

¹ **Significant Financial Interest** is defined as follows:

"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 responsibilities⁴:

(i) 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;

(ii) 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

(iii) **Intellectual property rights and interests** (e.g., patents, copyrights), upon receipt of **income** related to such rights and interests. (Do not include intellectual property owned or managed by the University of Bath)

iv) **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 institutional responsibilities.

²**Investigator** is defined as 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 US Public Health Service (e.g., NIH), or proposed for such funding, which may include, for example, collaborators or consultants.

³**Financial Conflict of Interest** (FCOI) is where an Investigator's Significant Financial Interest (SFI) could reasonably appear to be related to the Investigator's Institutional Responsibilities and that SFI could directly and significantly affect the design, conduct or reporting of US PHS research.

⁴ **Institutional responsibilities** are defined as teaching/education, research, outreach, clinical service, training and University and public service, on behalf of the University of Bath and directly related to those credentials, expertise and achievements upon which the Investigator's University of Bath position is based.

EXEMPTIONS

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

* **salary, royalties, expense reimbursement**, or other remuneration paid by the University of Bath to the Investigator if the Investigator is currently employed or otherwise appointed by the Institution, including intellectual property rights assigned to the University of Bath and agreements to share in royalties related to such rights;

* income from the authorship of **academic or scholarly works**;

* any ownership interest in the University of Bath held by the Investigator;

* income from investment vehicles, such as **mutual funds and retirement accounts**, as long as the Investigator does not directly control the investment management;

* income from **seminars, lectures, or teaching engagements sponsored by a federal, state, or local government agency**, an institution of higher education an academic teaching hospital, a medical centre, 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), an academic teaching hospital, a medical centre, or a research institute that is affiliated with an institution of higher education.

* **or travel that is reimbursed or sponsored by a federal, state, or local government agency**, institution of higher education (or affiliated research institute), academic teaching hospital, medical centre.

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Continuation Page:

Reporting for self family member

Name: _____ Relationship: _____

Name of External Entity: _____

Address of External Entity: _____

Type of external relationship: (check all that apply)

<input type="checkbox"/>	Consultant
<input type="checkbox"/>	Speaker
<input type="checkbox"/>	Advisory Board or Committee
<input type="checkbox"/>	Equity Holdings
<input type="checkbox"/>	Governing Board or Officer
<input type="checkbox"/>	Intellectual Property Rights
<input type="checkbox"/>	Royalty Income
<input type="checkbox"/>	Other (describe below)

Amount of compensation or financial interest in reporting period: £ _____

If travel paid by entity:

Destination _____ Amount £ _____

Comments or explanatory information: