

FINANCIAL CONFLICTS OF INTEREST DISCLOSURE
TO MEET PHS REQUIREMENTS
42 CFR PART 50 SUBPART F
AND
SD BOR POLICY 4:32.1-FCOI

EMPLOYEE INFORMATION

Name:

School/Department:

Position Title:

Campus Phone No:

Email address:

In accordance with the PHS Policy and related BOR Policy, investigators and others responsible for the design, conduct, or reporting of research funded by the Public Health Service must report all significant financial interests (SFI) of them and their immediate family members* that are reasonably related to the investigator's institutional responsibilities.

SFIs

OUTSIDE EMPLOYMENT OR COMPENSATION:

List each outside employer for which salary, wages, or any other payment for services (such as honoraria, consulting fees, paid authorship) that was received in the last 12 months, when aggregated, exceeds \$5,000 or greater:

Employee (you):

Immediate Family Member*:

OWNERSHIP INTERESTS:

1. List each public company which you and your immediate family members*, in aggregate, own equity (such as stocks, stock options, licensing fees, or royalties) or any other ownership interest equal to or greater than 5% of the equity issued by the entity, or valuing \$5,000 or greater of ownership interests.

Employee:

Immediate Family Member*:

2. List any ownership in a private company.

Employee:

Immediate Family Member*:

TRAVEL

List any reimbursed or sponsored travel (i.e., that which is paid on behalf of the investigator or not reimbursed to the investigator so that the exact monetary value may not be readily available), related to institutional responsibilities;

Employee:

Immediate Family Member*:

Do not report 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. (Source: 42 CFR 50)

Note: There is no dollar threshold when reporting travel.

OR

I have no travel or SFIs to disclose.

CERTIFICATION:

I certify the accuracy of the foregoing declarations, and I acknowledge that it is my responsibility to disclose new reportable financial interests within 30 days as required under 42 CFR Part 50 Subpart F and Policy VPR-12001-FCOI. I understand that if a financial conflict of interest is deemed to exist, more information will be requested to meet federal reporting requirements.

EMPLOYEE'S FULL LEGAL NAME:

(Printed / Typed)

(Signature) _____ DATE: _____

*Immediate Family member is defined as spouse and dependent children.

Completed forms may be sent in a sealed envelope, marked confidential and addressed to Sponsored Programs, Unit 9504. Or, mailed to Sponsored Programs, 1200 University Street, Unit 9504, Spearfish, SD 57799-9504.

A Guide to Determine “Reasonably Related” SFI

A significant financial interest (SFI) could be considered reasonably related to institutional responsibilities if:

- A person* is a founder, holds a management or executive position, serves on a board, is a consultant (with or without compensation) and/or has received travel income/reimbursement from an entity whose products or services will be used in, will benefit from, are the subject of, and/or are closely aligned with the research;
- The person has an SFI in an entity that is part of a consortium, or will otherwise participate in the research;
- The person will be involved in research under a subaward from an entity in which he/she has an SFI;
- Entity in which the person has an SFI is a subrecipient under the proposed research;
- The person has an SFI in an entity to which research space will be leased, or from which research space will be rented;
- The person has an SFI in a company which manufactures or sells a concomitant or comparator drug, device, or procedure;
- Products/services are being provided by or purchased from a company in which a person has an SFI;
- Intellectual Property (IP) developed by the person is being used, tested, or further developed in the research; and,
- IP owned by the institution and optioned/licensed to an entity in which a person has an SFI is being used, tested, or further developed in the research.

Source: University of California System

* “Person” means investigators and others responsible for the design, conduct, or reporting of research. Interests of the person and his/her immediate family are included.

The above list is not all-encompassing. If you have a question, please ask.