

Financial Disclosure Form for Investigators in PHS Research

**Pursuant to Appendix C of
The George Washington University Policy on Conflicts of Interest and
Commitment for Faculty and Investigators**

This form must be completed by investigators who plan to participate in research funded, or proposed to be funded, by the Public Health Service (PHS). [Please answer *all* of the questions. Do *not* leave any questions blank. If a question does not apply to you, simply put "N/A" or "None" in the box.] Once completed, this form should be sent by email to rescomp@gwu.edu for filing. It is also recommended that you save an electronic copy of your completed form for future reference and updates.

GWID: _____

Investigator Name: _____

Department/Unit: _____

School/Unit: _____

This form asks you to provide information regarding outside financial interests that are or reasonably appear to be related to your institutional responsibilities at GW. (Definitions of terms can be found at the end of this form.)

Significant Financial Interests in Publicly-Traded Entities

(1) Do you, your spouse/domestic partner, or your dependent children have any of the following interests in a publicly-traded entity that, alone or when aggregated, exceeds \$5,000 and that is or reasonably appears to be related to your institutional responsibilities at GW:

- Remuneration (such as consulting fees, honoraria, or paid authorship) received in the last twelve months
- Equity interest (stock, stock option, or other ownership interest)

If so, please provide details, including the name of the outside entity, the nature of the activity for which remuneration was received, the amount of remuneration received over the last twelve months, the value of any equity interest as of the date of this disclosure (as determined through reference to public prices or other reasonable measures of fair market value), the percentage of ownership interest in the outside entity, and the manner in which the equity interest was acquired.

Significant Financial Interests in *Non-Publicly-Traded Entities*

- (2) Have you, your spouse/domestic partner, or your dependent children received from a non-publicly-traded entity over the last twelve months any remuneration (such as consulting fees, honoraria, or paid authorship) that alone, or when aggregated, exceeds \$5,000 and that is or reasonably appears to be related to your institutional responsibilities at GW? (A non-publicly-traded entity may be for-profit, non-profit, or governmental, but does not include GW.)

If so, please provide details, including the name of the outside entity, the nature of the activity for which payment was received, and the amount of the remuneration received over the last twelve months.

- (3) Do you, your spouse/domestic partner, or your dependent children hold, in a non-publicly-traded entity, any equity interest (*e.g.*, stock, stock option, or other ownership interest) that is or reasonably appears to be related to your Institutional Responsibilities at GW? (Please note that this question applies to any equity interest, regardless of value.)

If so, please provide details, including the name of the outside entity, the dollar value and percentage of ownership interest in the outside entity, and the manner in which the equity interest was acquired.

Intellectual Property Rights and Interests

- (4) Do you, your spouse/domestic partner, or your dependent children have any intellectual property rights and interests (e.g., patents and copyrights) from which you or they have received any related income in the last twelve months and that are or reasonably appear to be related to your institutional responsibilities at GW? (Please note that this question applies regardless of the value of the income received. You need not disclose intellectual property rights assigned to GW and agreements to share in royalties related to such rights.)

If so, please provide details, including the nature of the intellectual property rights and interests, how they were acquired, and the amount of income received.

Reimbursed or Sponsored Travel

- (5) Please disclose any reimbursed or sponsored travel, regardless of value, that occurred in the last twelve months and that is or reasonably appears to be related to your institutional responsibilities at GW. (You need not disclose travel that is reimbursed or sponsored by GW, a Federal, state, or local government agency, an institution of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education.)

- (a) What was the purpose of the trip?

- (b) What is the name of the organization that reimbursed or sponsored the travel?

- (c) What was the destination of the trip?

- (d) What was the duration of the trip?

PHS Proposals or Awards

- (6) Do you believe that any of the Significant Financial Interests you described in response to Questions (1)-(5) relate to any PHS proposal or award on which you are an Investigator? Please explain.

Note: A Significant Financial Interest relates to PHS-funded research if (a) the Significant Financial Interest could be affected by the PHS-funded research or (b) the Significant Financial Interest is in an entity whose financial interest could be affected by the research.

I certify that all of the foregoing information in this form is true and complete to the best of my knowledge. I acknowledge that, during the period of a PHS award, I am required to update this form annually and within 30 days of discovering or acquiring a new Significant Financial Interest.

Signature

Date

Full Name (Printed)

Position Title

Definitions

For purposes of this Financial Disclosure Form for Investigators in PHS Research, the following definitions apply.

“Institutional Responsibilities” means an Investigator’s professional responsibilities on behalf of the University, which may include for example: activities such as research, research consultation, teaching, professional practice, University committee memberships, and service on panels such as Institutional Review Boards or data and safety monitoring boards.

“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 PHS, or proposed for funding by PHS, which may include, for example, consultants or collaborators.

“PHS Awarding Component” means the organizational unit within PHS that funds the research.

“Research” means a systematic investigation, study, or experiment designed to develop or contribute to generalizable knowledge relating broadly to public health, including behavioral and social-sciences research. The term encompasses basic and applied research (*e.g.*, a published article, book or book chapter) and product development (*e.g.*, a diagnostic test or drug). The term includes any such activity for which research funding is available from a PHS Awarding Component through a grant, cooperative agreement, or contract, whether authorized under the PHS Act or other statutory authority, such as a research grant, career development award, center grant, individual fellowship award, infrastructure award, institutional training grant, program project, or research resources award.

“Significant Financial Interest”¹ means a financial interest² consisting of one or more of the following interests of the Investigator (and those of the Investigator’s spouse/domestic partner and dependent children) that reasonably appears to be related to the Investigator’s Institutional Responsibilities:

¹ The following need not be disclosed on the Financial Disclosure Form for Investigators in PHS Research: (1) salary, royalties, or other remuneration paid by the University to the Investigator if the Investigator 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; (2) 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; (3) 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 center, or a research institute that is affiliated with an institution of higher education; (4) 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 center, or a research institute that is affiliated with an Institution of higher education; or (5) travel that is reimbursed or sponsored by a Federal, state, or local government agency, an institution of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education.

² A financial interest is anything of monetary value, whether or not the value is readily ascertainable.

(a) 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;

(b) 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/domestic partner or dependent children) holds any equity interest (*e.g.*, stock, stock option, or other ownership interest);

(c) Intellectual property rights and interests (*e.g.*, patents, copyrights), upon receipt of income related to such rights and interests; or

(d) the occurrence of any reimbursed or sponsored travel.³

³ Sponsored travel means travel that is paid on behalf of the Investigator and not reimbursed to the Investigator (so that the exact monetary amount may not be readily determined).