

CONFLICT OF INTEREST (COI) and SIGNIFICANT FINANCIAL INTEREST (SFI) DISCLOSURE FORM

Version Date: 07/20/2023

Instructions:

All investigators that are either named as a Principal Investigator, Co-Principal Investigator/Co-Investigator or Study Staff, where Study Staff are deemed key personnel, must be listed on this disclosure.

All individuals listed on this form, must identify any Significant Financial Interest (SFI) or Other support as defined on this form and sign the form. All individuals listed on this form or will be research staff should include any Conflict of Interest (COI) related to the project and sign the form. After all individuals have completed and signed the form, the Principal Investigator should review and sign the form, and then contact their Dean/Associate Dean or Supervisor to obtain their signature. Submit completed form as necessary and applicable during the Cayuse Sponsored Project proposal submission process, Cayuse IRB submission process and/or directly to the Rowan University Conflict of Interest Committee. Click [here](#) to go to the Rowan COI website. Click [here](#) to view COI administration contact information.

Pages 1 through 3 of this form must be completed; and pages 4, 5 and/or 6 must be completed for any SFI, Other Support or COI reported.

This form does not supersede or replace the requirements for other additional or outside compensation and conflict of interest policies that are related to a College, School or other Division/Department/Office of Rowan University or New Jersey state employee policies.

Project and Disclosure Information

PROJECT TITLE:				
PRINCIPAL INVESTIGATOR:			PHONE #:	
SCHOOL/COLLEGE/DEPARTMENT:				
FUNDING AGENCY OR SPONSOR:			TOTAL BUDGET:	
Project Type:	A -Research	B - Training/Education	C -Service	D - Other:
Disclosure Type:			Does your project involve human subjects research?	
Initial disclosure			Yes No	
Update to existing disclosure – New personnel, change in SFI, newly acquired SFI				
Annual update to an existing disclosure <u>with no changes</u>				
Annual update to an existing disclosure <u>with changes</u>				

Definitions:

Institution means any domestic or foreign, public or private, entity or organization (excluding a Federal agency) that is applying for, or that receives, research funding.

Institutional responsibilities means an Investigator's professional responsibilities on behalf of the Institution, and as defined by the Institution in its policy on financial conflicts of interest, which may include for example: activities such as research, research consultation, teaching, professional practice, institutional committee memberships, and service on panels such as Institutional Review Boards or Data and Safety Monitoring Boards.

Investigator means Principal Investigator, co-Investigators and any investigator considered key personnel. Key personnel are researchers where the Principal Investigator has delegated overall responsibility and final approval for any of the following three (3) stages of research: a) design/planning, b) conduct/implementation, and/or c) analysis/reporting. Depending on the project, this could include staff, students, consultants and external collaborators.

Principal Investigator means any person, regardless of title or position, who is responsible for the overall design, conduct, or reporting of research.

Key personnel is any individual in the research project that has been granted significant oversight and approval authority for any one of the following research areas: design/planning, implementation/conduct and/or analysis/reporting. Key personnel may include collaborators, consultants and/or students. Principal Investigators must complete and submit a new form annually and/or if any update to a significant financial interest or personnel changes occur.

Other Support is defined as:

Current, active resources and/or financial and non-financial support from foreign entities that are available to the researchers; research related consulting activities, where the PI/Co-Investigator/Key Personnel are conducting research as part of the consulting activities; and In-kind support (time commitment, laboratory space, equipment, supplies or personnel/students provided by an external source/non-Rowan entity)

- Foreign support includes non-financial support, Talent Acquisition Programs or other paid/reimbursed activities by foreign governments and/or entities fully or partially owned by a foreign government.
- Other Support does not include training awards, prizes or gifts. Gifts are something of value where there is no expectation of anything. An item or service provided with the expectation of time commitment is not a gift, and should be reported on this form as Other support.

Conflict of Interest is a divergence between an investigator's financial or other personal interests and the obligation to abide by principles of the ethical conduct of research, especially the obligation to protect the rights and welfare of human subjects, such that considerations of personal gain, financial or otherwise, may influence or create the perception of influencing that investigator and compromise the objectivity or appropriate design, conduct or reporting of the research. Conflict of interests can also relate to commitment and institutional conflicts.

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Significant Financial Interest is defined as:

- A) Remuneration received from a publicly traded entity or non-publicly traded entity in the 12 months preceding the disclosure, when aggregated, exceeds \$5,000?
Examples: Salary, Payment for Services, Consulting Fees, Honoraria, Paid Authorships, Gifts, Gratuities, Compensation for Services on an Advisory Panel/Committee or Review Panel/Committee or Expert Testimony. Note: Remuneration (salary, payment for services, etc.) paid by Rowan University to you as part of your appointment/position with Rowan University is not considered a significant financial interest and should not be reported on this form.
- B) Any income related to intellectual property rights and interest not assigned by Rowan University and/or currently hold any intellectual property rights and interest (royalties) other than Rowan University, related to your institutional responsibilities?
- C) Any equity interest, that when aggregated exceeds \$5,000, in a publicly traded entity or non-publicly traded entity that is related to the investigator's institutional responsibilities and/or the proposed activities of the research project? *Examples: stock, stock option, or other ownership interest.*
- D) Engaged in travel related to your institutional responsibilities that was paid for on your behalf (and not reimbursed to you so that the exact monetary value may not be readily known) by a sponsoring/reimbursing entity other than a/an:
 - Federal, state, or local government agency
 - Institution of higher education as defined at 20 U.S.C. 1001(a)
 - Academic teaching hospital
 - Medical center
 - Research Institute that is affiliated with an institution of higher education

Investigators/Researchers

List the Principal Investigator, all Co-Investigator(s) and all other investigators/researchers that are key personnel (key personnel may include collaborators, consultants and/or students) below.

SFI Reported - If any investigator checks "Yes", then complete page 4 of this form

Other Support Reported - If any investigator checks "Yes", then complete page 6 of this form

COI Reported - If any investigator checks "Yes", then complete page 6 of this form

Principal Investigator First and Last Name:	SFI Reported?	Other Support Reported?	COI Reported?	Signature: Date of Signature:
Yes No Yes No Yes No				
Investigator First and Last Name:	SFI Reported?	Other Support Reported?	COI Reported?	Signature: Date of Signature:
Yes No Yes No Yes No				
Investigator First and Last Name:	SFI Reported?	Other Support Reported?	COI Reported?	Signature: Date of Signature:
Yes No Yes No Yes No				
Investigator First and Last Name:	SFI Reported?	Other Support Reported?	COI Reported?	Signature: Date of Signature:
Yes No Yes No Yes No				

External Investigators/Researchers - If any individual above is non-Rowan faculty, staff or student, check the appropriate box(es) below:

Check this box if external/Non-Rowan investigator(s) listed above will abide by their institution's conflict of interest policy and their institution's policy meets the requirements of PHS 42 CFR 50, Part F.

Check this box if external/non-Rowan investigator(s) institution's conflict of interest policy does not meet the requirements of PHS 42 CFR 50, Part F.

Check this box if any external, Non-Rowan University investigator has a conflict of interest or management action plan that is managed by their organization/entity and is relevant to this project or work to be performed related to their collaboration with Rowan University. External investigator should provide brief summary of the conflict in the Conflict of Interest section on this form.

Check this box if any external, Non-Rowan University investigator does not have any conflict of interest or management action plan associated with this project or work to be performed related to their collaboration with Rowan University.

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Investigators/Researchers

List the Principal Investigator, all Co-Investigator(s) and all other investigators/researchers that are key personnel (key personnel may include collaborators, consultants and/or students) below.

SFI Reported - If any investigator checks "Yes", then complete page 4 of this form

Other Support Reported - If any investigator checks "Yes", then complete page 6 of this form

COI Reported - If any investigator checks "Yes", then complete page 6 of this form

<u>Investigator</u> First and Last Name:	SFI Reported? Yes No	Other Support Reported? Yes No	COI Reported? Yes No	Signature: Date of Signature:
<u>Investigator</u> First and Last Name:	SFI Reported? Yes No	Other Support Reported? Yes No	COI Reported? Yes No	Signature: Date of Signature:
<u>Investigator</u> First and Last Name:	SFI Reported? Yes No	Other Support Reported? Yes No	COI Reported? Yes No	Signature: Date of Signature:
<u>Investigator</u> First and Last Name:	SFI Reported? Yes No	Other Support Reported? Yes No	COI Reported? Yes No	Signature: Date of Signature:

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Principal Investigator Acknowledgment

By checking this box, the Principal Investigator acknowledges that all individuals listed on this disclosure have:

- To the best of their knowledge, provided correct and accurate information and has made all required disclosure of financial and personal interests and identified any perceived conflict of interest;
- Read and understood the Rowan University Managing Conflicts of Interest Policy;
- Will complete a Disclosure Form on an annual basis for the duration of the research, or more frequently as new interests are obtained or if their situation with respect to potential conflict of interest changes since the most recent disclosure, and submit it to the Office of Research Compliance; and
- Will comply with any conditions or restrictions imposed by Rowan University to manage, reduce or eliminate conflicts of interest caused by any interests or conflicts.

Department signatures must be obtained after all investigators have signed the disclosure

Primary Investigator Department Chair (or Dean) or Supervisor signature would go into the first signature line.

Department Chair/Head (or Dean) or Supervisor signature is an acknowledgment. Department Chair/Heads (or Deans) or Supervisors that sign the form are not responsible to ensure accurate and correct information is provided; nor responsible for ensuring individuals update the disclosure form. Principal Investigators are ultimately responsible for ensuring the disclosure form, and all individuals listed, are providing accurate and correct information, updating the disclosure form and submitting the form to Rowan University Conflict of Interest Administration.

If multiple departments are included in the project AND the co-Investigator has marked "Yes" for an SFI, COI or Other Support, then Co-Investigator's Department Chair (or Dean) or Supervisor signature is included in addition to Primary Investigator's Department signature.

*Signature of Department Chair (or Dean if investigator is Head/Chair) or Supervisor

Date

**Signature of Department Chair (or Dean if investigator is Head/Chair) or Supervisor

Date

* - Single Department Project - Only one Department signature is required

** - Multiple Department Project - Multiple Department signatures are required

**Signature of Department Chair (or Dean if investigator is Head/Chair) or Supervisor

Date

* - Single Department Project - Only one Department signature is required

** - Multiple Department Project - Multiple Department signatures are required

Regulation and Policy and Procedure Citation

PHS – 42 CFR; Chapter 1, Sub-Chapter D; Grants, Part 50 Subchapter F – Promoting Objectivity in Research

NSF – Proposal & Award Policies & Procedures Guide; Part II; Section IX Grantee Standards; Subsection A – Conflict of Interest Policies

CONFLICT OF INTERESTS (COI) and SIGNIFICANT FINANCIAL INTEREST (SFI) DISCLOSURE FORM

Significant Financial Interests (SFI) and Other Support

Name of Investigator:				<u>Description/Additional Information</u>
Remuneration and Type of Financial Interest	Check below if SFI is related to the Investigator	Check below if SFI is related to the Investigator's spouse/domestic partner and/or dependent children	Amount / Value	Please include:
				<ul style="list-style-type: none"> • Remuneration type or financial interest (Salary, Paid Authorship, etc.) • Entity name • Nature of work performed for the Entity • How is the relationship with the entity related to the proposed research
Salary, Payment for Services, Consulting Fees, Honoraria, Paid Authorships, Service on Advisory Committee, Expert Testimony, Service on Review Panel				
Stocks, Stock Options, Other Ownership Interests, Royalty Payments				
Gifts , Gratuity				

Sponsored Travel

Purpose of Trip:

Destination:

Dates of Trip:

Name of Investigator:				<u>Description/Additional Information</u>
Remuneration and Type of Financial Interest	Check below if SFI is related to the Investigator	Check below if SFI is related to the Investigator's spouse/domestic partner and/or dependent children	Amount / Value	Please include:
				<ul style="list-style-type: none"> • Remuneration type or financial interest (Salary, Paid Authorship, etc.) • Entity name • Nature of work performed for the Entity • How is the relationship with the entity related to the proposed research
Salary, Payment for Services, Consulting Fees, Honoraria, Paid Authorships, Service on Advisory Committee, Expert Testimony, Service on Review Panel				
Stocks, Stock Options, Other Ownership Interests, Royalty Payments				
Gifts , Gratuity				

Sponsored Travel

Purpose of Trip:

Destination:

Dates of Trip:

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Significant Financial Interests (SFI) and Other Support

Name of Investigator:				<u>Description/Additional Information</u>
Remuneration and Type of Financial Interest	Check below if SFI is related to the Investigator	Check below if SFI is related to the Investigator's spouse/domestic partner and/or dependent children	Amount / Value	Please include:
				<ul style="list-style-type: none"> • Remuneration type or financial interest (Salary, Paid Authorship, etc.) • Entity name • Nature of work performed for the Entity • How is the relationship with the entity related to the proposed research
Salary, Payment for Services, Consulting Fees, Honoraria, Paid Authorships, Service on Advisory Committee, Expert Testimony, Service on Review Panel				
Stocks, Stock Options, Other Ownership Interests, Royalty Payments				
Gifts , Gratuity				

Sponsored Travel

Purpose of Trip:

Destination:

Dates of Trip:

Name of Investigator:				<u>Description/Additional Information</u>
Remuneration and Type of Financial Interest	Check below if SFI is related to the Investigator	Check below if SFI is related to the Investigator's spouse/domestic partner and/or dependent children	Amount / Value	Please include:
				<ul style="list-style-type: none"> • Remuneration type or financial interest (Salary, Paid Authorship, etc.) • Entity name • Nature of work performed for the Entity • How is the relationship with the entity related to the proposed research
Salary, Payment for Services, Consulting Fees, Honoraria, Paid Authorships, Service on Advisory Committee, Expert Testimony, Service on Review Panel				
Stocks, Stock Options, Other Ownership Interests, Royalty Payments				
Gifts , Gratuity				

Sponsored Travel

Purpose of Trip:

Destination:

Dates of Trip:

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Conflict of Interest

Include investigators/individuals name and brief explanation of Conflict of Interest below.

Other Support

Include investigators/individuals name and brief explanation of Other Support below.

Additional Information, as necessary

Include investigators/individuals name and brief explanation of Other Support below.