**Definition of Key Terms**

**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 the U.S. Public Health Service (PHS) or proposed for such funding, which may include, for example, collaborators or consultants.

**Investigator’s Institutional Responsibilities** means an Investigator's professional responsibilities on behalf of Kennesaw State University, including teaching, research, and service, and outlined in the faculty member’s Faculty Workload Agreement.

**Significant Financial Interest (SFI)** means (1) A financial interest consisting of one or more of the following interests of the Investigator (and those of the Investigator’s spouse or domestic partner and dependents) that reasonably appears to be related to the Investigator’s institutional responsibilities:

(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, domestic partner, or dependents) 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.

(iv) Investigators must also disclose any reimbursed travel or travel paid on behalf of the Investigator (i.e., not reimbursed to the Investigator), related to their KSU responsibilities. 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 USC 1001(a); an academic teaching hospital; a medical center; or a research institute affiliated with an institution of higher education.

(v) The following are excluded from the definition of SFI:

* Salary royalties, or other remuneration paid by KSU to the Investigator if the Investigator is currently employed or otherwise appointed by KSU;
* Intellectual Property Rights assigned to KSU and agreements to share in royalties related to such rights;
* 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, Institution of higher education as defied 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.

**Financial Conflict of Interest (FCOI)** means an SFI that could directly and significantly affect the design, conduct, or reporting of PHS-funded research.

KSU’s FCOI Policy mandates that each Investigator (PI, co-PI, co-Investigator) who is planning to participate in or is participating in U.S. Public Health Service (PHS) funded research must submit an annual financial conflict of interest disclosure form to the Vice President for Research and, additionally, must submit an updated disclosure form within thirty days of discovering or acquiring (e.g., through purchase, marriage, or inheritance) a new Significant Financial Interest (SFI). Please see KSU’s FCOI policy for guidance.

|  |  |
| --- | --- |
| **Investigator Name:** |  |
| **Telephone:**  |  |
| **Email Address:** |  |

**Reason for completing form (check one box):**

**[ ]** New Proposal Submission

**[ ]** Annual Disclosure

**[ ]**  Acquisition of a new significant financial interest

[ ]  Investigator recently added to ongoing project

**[ ]** Previously existing, undisclosed SFI

|  |  |
| --- | --- |
| **Project Principal Investigator (PI):** |  |
| **Sponsor:**  |  |
| **Title of Project:** |  |

By checking the appropriate box below and signing below, I certify that I am the undersigned and that I have read KSU’s FCOI policy. I also certify that all required information regarding each of my Significant Financial Interests is disclosed on the following pages and is accurate to the best of my knowledge as of the date of my attestation. Furthermore, I certify that I will submit an updated form within 30 days of discovering or acquiring a new SFI.

Do you, your spouse, domestic partner, or any of your dependents have a Significant Financial Interest as defined above?

[ ]  No.

[ ]  Yes. I have attached a detailed disclosure form for each SFI.

**Investigator’s Signature:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |
| --- | --- |
| **Date:**  |  |

*Please return this form to* *sponprog@kennesaw.edu*

**Please provide the following information about each Significant Financial Interest (SFI).**

|  |  |
| --- | --- |
| **Entity Name:** |  |
| **Entity Address:** |  |
| **Type of Entity/Description:** |  |

Please check and describe all applicable items that relate to the SFIs for you, your spouse, domestic partner, or dependents during the previous twelve (12) months.

|  |  |  |
| --- | --- | --- |
|  | **Amount** | **Description** |
| **[ ]** Salary |  |  |
| **[ ]** Consulting income |  |  |
| **[ ]** Compensation for service on Board of Directors/Trustees/Advisors |  |  |
| **[ ]** Honoraria for commissioned papers, editing, lectures, expert testimony |  |  |
| **[ ]** Paid authorship |  |  |
| **[ ]** Travel reimbursement |  |  |
| **[ ]** Stock or stock option |  |  |
| **[ ]** Royalties |  |  |
| **[ ]** Rights from patents or copyrights |  |  |
| **[ ]** Gifts, gratuities, anything of monetary value |  |  |
| **[ ]** Loans |  |  |
| **[ ]** Other income, equity, or ownership interest |  |  |

Please provide the aggregate amount of all interests you have in the entity above: $

Please describe how these interests reasonably appear to be related to your Institutional Responsibilities.

|  |
| --- |
|  |

*Please forward this form to the Vice President for Research in a sealed confidential envelope.*