

ODU Significant Financial Interests Report Form

PART 1 - COI TRAINING

A conflict of interest disclosure must be completed annually and within 30 days of discovering or acquiring a new financial interest and/or sponsored travel. Your disclosure should cover the last 12 months. After you complete your initial disclosure in IRBNet, any outdated external interests should be deleted or modified, as appropriate, whenever you update your disclosure. This disclosure form contains a brief training module. The training module contains helpful definitions and guidelines for understanding conflicts of interest, your responsibilities, and how to complete this disclosure.

PURPOSE

The ODU Conflict of Interest (COI) disclosure process was developed to promote objectivity and transparency in research and other professional activities by ODU faculty and associated personnel. The process closely follows the PHS regulations announced in 2011.

DEFINITIONS

Investigator - all Key Personnel (Project Director (PD) or Principal Investigator (PI) or any other person identified as senior/key personnel) listed in a grant application, contract, progress or other report, and all individuals, regardless of title or position, who have responsibility over the design, conduct, or reporting of research or a sponsored project, which may include research assistants, post-docs, fellows, students, collaborators or consultants. Note: The PI determines who is an Investigator on a project.

Senior/Key Personnel - any individual named as the Principal Investigator, Project Director, or otherwise identified as senior/key personnel in a grant application, progress report, or other report submitted to the granting agency.

Covered Family Member - your spouse, domestic partner, dependent children or other member of your household.

Financial Interest - Anything of monetary value. Financial interests include, but are not limited to:

- Income including salary, consulting payments, honoraria, reimbursement of expenses, royalty payments, dividends, loans from an entity, or any other payments or consideration with value.
- Equity in the form of stock, stock options, business or commercial real estate, business or commercial loans to or from an entity, or any other investment or ownership interest.
- Management or executive position whether paid or unpaid, such as board member, director, officer, partner, advisor, or trustee.
- Ownership or other interest in an entity that is proposed as a subcontractor, consortium member, lessor or otherwise involved in the project.
- Intellectual property interest on a patent, patent application or copyright assigned licensed. Any reimbursed or sponsored travel related to activities deemed to be part of your institutional responsibilities.

Exclusions from the Financial Interest Definition –

- Salary paid by ODU
- Income from mutual funds and/or retirement accounts so long as you do not have direct control over investment decisions
- Income from seminars, lectures, teaching, service on advisory committees or review panels, for federal, state or local government agency, institution of higher education (as defined by 20 USC 1001(a)), an academic teaching hospital, a medical center, or a research institute affiliated with an institution of higher education.
- Reimbursed or sponsored travel by a Federal, state, or local government agency, an institution of higher education as defined at 20 U.S.C. 1001(a), an academic medical center, or a research institute that is affiliated with an Institution of higher education.

WHO MUST COMPLETE AN ANNUAL DISCLOSURE?

- ALL key personnel on a sponsored project

TIPS:

- Senior/Key Personnel are always considered investigators by virtue of the definition of Key Personnel
- Key Personnel are not administrative personnel or individuals who perform routine, pre-defined, or incidental tasks related to the project.
- Being paid off of a grant or contract does not make one a key personnel.

[University Policy on Research Conflicts of Interest](#)

I have read and understand the training and policies above.

WHAT IF I HAVE MORE QUESTIONS?

For any questions related to this disclosure form, ODU disclosure requirements, or other questions related to conflicts of interest, please contact COI@odu.edu or call 683-3574.

PART 2 - DISCLOSURE

This report must be filed by all “Key Personnel” on NIH and other PHS applications (as well as for applications to other organizations that have adopted the PHS FCOI standard) BEFORE those applications will be submitted by ODURF.

This report must be updated by all “Key Personnel” BEFORE an NIH or other PHS award is accepted by ODURF on behalf of ODU.

For all ODU faculty, the SFI report must be completed annually and updated within 30 days of any new SFI event

The ODU Research Conflicts of Interest policy corresponds with the mandate of PHS regulations:

<http://www.odu.edu/content/dam/odu/policies/university/5000/univ-5201.pdf>

<http://grants.nih.gov/grants/policy/coi/>

If there is insufficient space to include all your SFI's in one report please submit a second report with those relationships that did not fit in the first submission.

All fields are mandatory.

Name:

Email:

I am reporting on activities (select **ONE**):

- for the 12 months preceding today (new proposal or annual update)
as an addendum to the most recent reports for all projects (new SFI since last disclosure)

Please answer the questions below:

Yes No **Compensation:** Have you or a member of your family (spouse and dependent children) received compensation greater than \$5,000 from a for-profit entity in your area of academic expertise for activities such as consulting, expert witness, advisory board membership, and the like?

Yes No **Equity:** Do you or a member of your family (spouse and dependent children) own stock or hold stock options with a publicly-traded or privately-owned entity related to the Investigator's institutional responsibilities valued at greater than \$5,000?

Note: This does not include 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.

Yes No **Role:** Do you or a member of your family (spouse and dependent children) serve as a director, trustee, officer or other key employee in your area of academic expertise in a for-profit corporation, partnership, business, or other entity outside of Old Dominion University or Old Dominion University Research Foundation?

Yes No **Intellectual Property:** Do you or a member of your family (spouse and dependent children) have rights to and/or receive royalties from intellectual property (including patents, copyrights, and trademarks but excluding academic or scholarly works) licensed to and/or owned by a for-profit entity valued at greater than \$5,000? Do NOT include intellectual property owned or managed by Old Dominion University or the Old Dominion University Research Foundation.

Yes No **Travel:** Have you or a member of your family (spouse and dependent children) been reimbursed for travel or participated in sponsored travel (i.e., that which is paid on behalf of you and not reimbursed), related to your institutional responsibilities valued at more than \$5,000 from a single entity or company?

Note: This excludes travel that is reimbursed or sponsored by a federal, state, or local government agency, ODU, ODURF, or another Institution of higher education.

Yes No **International Affiliations:** Do you hold an appointment at a foreign educational institution AND/OR have you been a participant in a foreign government talent recruitment (or similar) program?

Note: For the purposes of this question, we ask that you respond consistent with the definition used by the National Science Foundation (NSF), see [Definition of Foreign Talent HRM.pdf \(nsf.gov\)](#). Do not rely upon the name of program or document type provided by the foreign entity to determine if a program meets the definition.

Comments or explanatory information for any “Yes” answers above (please provide information indicating how the SFI is or is not related to your scholarly activity at ODU:

Certification:

I have read and understand Old Dominion University’s policy on Conflict of Interest in PHS Funded Projects and have completed this report to the best of my knowledge and belief. If required, I will comply with any conditions or restrictions imposed by Old Dominion University to manage any real or perceived conflicts. Should my outside financial or managerial interests, or those of my Family, change in a way that results in different answers to any of the questions asked in this report, I agree to submit a revision.

Check this box to agree to the terms above

This form and any supporting materials should be submitted to the Office of Research using IRBNet (www.irbnet.org) Submission packages MUST be electronically signed within IRBNet by the individual identified on the form.