

OSP-5A FINANCIAL CONFLICT OF INTEREST DISCLOSURE FORM – DHHS/PHS ONLY

Disclosure for Grant Award? Yes <input type="checkbox"/> No <input type="checkbox"/> <i>if yes, list OSP Grant Fund for this disclosure:</i>
Disclosure for Grant Proposal? Yes <input type="checkbox"/> No <input type="checkbox"/>
Title:
Funding Agency:

Employee: _____ **College or Dept:** _____

Position Title: _____ **HPU Phone number:** _____

Status: Full-time Part-time Filing: New Annual

Currently engaged in externally sponsored activities at HPU? Yes No
if yes, list all OSP Grant Fund(s): _____

Section 1 – Introduction and Definitions

Purpose: This form allows routine/annual disclosure of significant financial interests that may influence or appear to influence employees' performance of research funded by the Department of Health and Human Services, Public Health Service (PHS) laws and regulations and Hawai'i Pacific University (HPU) policy. Disclosure of all significant financial interests is required by HPU Investigators (see definition, below) funded by the PHS. The interests which must be disclosed include those of the University employee, his or her spouse, significant other and dependent children (collectively, Investigator's Family).

In compliance with Federal law and regulation and HPU policies, disclosure of all relevant personal and financial interests is required of all full-time faculty and staff and all other members of the HPU community who are responsible for the design, conduct, or reporting of research or educational activities. The interests which must be disclosed include those of the individual, his/her spouse or significant other, and dependent children.

- A. *Financial Interest* means anything of monetary value received or held by an Investigator's Family, whether or not the value is readily ascertainable, including, but not limited to: salary or other payments for services (e.g., consulting fees, honoraria, or paid authorships for other than scholarly works); any equity interests (e.g., stocks, stock options, or other ownership interests); and intellectual property rights and interests (e.g., patents, trademarks, service marks, copyrights), upon receipt of income related to such intellectual property rights and interests.
- B. *Significant Financial Interest* means a Financial Interest that reasonably appears to be related to the Investigator's Institutional Responsibilities, AND:
 - 1) if with a publicly traded entity, the aggregate value of any salary or other payments for services received during the 12-month period preceding the disclosure, and the value of any equity interest during the 12-month period preceding or as of the date of disclosure, exceeds \$5,000; or
 - 2) if with a non-publicly traded entity, the aggregate value of any salary or other payments for services received during the 12-month period preceding the disclosure exceeds \$5,000; or

- 3) if with a non-publicly-traded entity, is an equity interest of any value during the 12-month period preceding or as of the date of disclosure; or
- 4) is income related to intellectual property rights and interests that is not disbursed through HPU.

C. *Significant Financial Interest* does NOT include:

- 1) salary, royalties, or other remuneration from HPU;
- 2) income from the authorship of academic or scholarly works;
- 3) income from seminars, lectures, or teaching engagements sponsored by or from advisory committees or review panels for U.S. Federal, state or local governmental agencies; U.S. institutions of higher education (as defined at 20 U.S.C. 1001(a)); U.S. research institutes affiliated with institutions of higher education, academic teaching hospitals, and medical centers; or
- 4) equity interests or income from investment vehicles, such as mutual funds and retirement accounts, so long as the Investigator does not directly control the investment decisions made in these vehicles.

D. *Financial Conflict of Interest (FCOI)* means a Significant Financial Interest that the Institution reasonably determines could directly and significantly affect the design, conduct or reporting of Institutional research.

E. *Institutional responsibilities* means the Investigator's responsibilities associated with his or her Institutional appointment or position, such as research, teaching, clinical activities, administration, and institutional, internal and external professional committee service.

F. *Investigator* means any individual who is responsible for the design, conduct, or reporting of PHS sponsored research, or proposals for such funding. This definition is not limited to those titled or budgeted as principal investigator or co-investigator on a particular proposal, and may include postdoctoral associates, senior scientists, or graduate students. The definition may also include collaborators or consultants, as appropriate.

Section 2 –Declaration

Within the past 12 months, I, my spouse, significant other, or dependent children (in the aggregate) had or acquired "Significant Financial Interests" as described in section 1, above. I will promptly schedule a meeting with the Office of Sponsored Projects to provide additional information.

Within the past 12 months, I, my spouse, significant other, or dependent children, in the aggregate, did not have or acquire "Significant Financial Interests" as described in section 1, above.

I certify that the above is a complete and accurate disclosure of my financial interests. I further certify that I am aware and understand that I have an ongoing responsibility to update this report upon any change in financial activities that would result in a change in the above Declaration.

Signature

Date

Section 3 – Training

Please submit this form (and the CITI FCOI mini-course certificate of completion, if required) to [the Office of Sponsored Projects, 500 Ala Moana Blvd, Suite 4-575, Honolulu, HI 96813 \(WP4-575\)](#).