

The University of Tennessee
Financial Interest Disclosure Form
Investigators Participating in or Proposing PHS-Funded Research

University Investigators

Name:	Personnel #:
Title:	Campus/Unit:
Department:	E-mail:

Non-University Investigators

Name:	E-mail:
Institution/Entity:	Name of PD/PI:

In accordance with PHS regulations and the University's Conflicts of Interest Policy [[insert link to the policy](#)], this Financial Interest Disclosure Form must be completed by all Investigators (defined below) participating in, or planning to participate in, PHS-funded research at the University. The information required to be disclosed on this form is necessary to allow the University to carry out its obligation under the PHS regulations to determine if an Investigator has a significant financial interest that could directly and significantly affect the design, conduct, or reporting of PHS-funded research, thereby constituting a financial conflict of interest that must be managed. Please read the University's Conflict of Interest Policy and the following definitions and disclosure exemptions before completing this form.

This disclosure is:

- an initial disclosure related to an application for PHS-funded research;
- an initial disclosure for ongoing PHS-funded research;
- an update to disclose a newly discovered or acquired financial interest required to be disclosed on this form; or
- the required annual update to an existing disclosure.

Definitions: The following terms used in this form have the meaning described below:

Financial interest means anything of monetary value, whether or not the value is readily ascertainable.

Institutional responsibilities mean an Investigator's professional responsibilities on behalf of the University, which include the following and similar activities: 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 (PD) or principal investigator (PI) and any other person (including but not limited to a student, resident, fellow, post-doctoral appointee, and affiliate, volunteer, and adjunct faculty appointee), regardless of title or position and regardless of whether compensated or not, who is responsible for the design, conduct, or reporting of PHS-funded research, or proposed for such funding, which may include, for example, collaborators or consultants.

Disclosure Exemptions: Investigators are not required to disclose the following financial interests:

- 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 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 affiliated with an institution of higher education;
- Income from service on advisory committees or review panels for a federal, state, or local government agency, or institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute affiliated with an institution of higher education; or
- Travel reimbursed or sponsored by a federal, state, or local government agency, in 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.

The Investigator must disclose the financial interests of the Investigator, the Investigator's spouse, and the Investigator's dependent child(ren) that are, or could reasonably appear to a non-expert to be, related to the Investigator's institutional responsibilities. The financial interest of a legal entity, including but not limited to a foundation or trust, controlled or directed by the Investigator and/or the Investigator's spouse and/or dependent child(ren) is considered to be the interest of the Investigator or the Investigator's spouse or dependent child(ren) as if the legal entity did not exist. In disclosing interests, the Investigator should resolve doubt in favor of disclosure.

1. Remuneration and Equity Interests

Disclose the following financial interests existing at the present or in the 12 months preceding the date of this disclosure. *Check all that apply and **complete this part of the form for each external (non-University) entity.** If you have no remuneration or equity interests to disclose, check "None."*

None

Name of external entity:

Remuneration, which includes salary and any payment for services (e.g., consulting fees, honoraria, paid authorship, speaker fees).

Aggregate amount received by the Investigator and the Investigator's spouse and dependent child(ren):

Equity interest, which includes any stock, stock option, partnership share, member interest, sole proprietorship, or other ownership interest.

Entity is: publicly traded non-publicly traded

If publicly traded:

a. aggregate percent interest owned by the Investigator and the Investigator's spouse and dependent child(ren) is:
 less than 3% 3-5% more than 5%

b. present value of the aggregate equity interest owned by the Investigator and the Investigator's spouse and dependent child(ren), as determined through reference to public prices or other reasonable measures of fair market value, is:

If non-publicly traded:

a. aggregate percent interest owned by the Investigator and the Investigator's spouse and dependent child(ren) is (specify % interest; do not use ranges shown above for publicly traded entities):

b. the present value of the aggregate equity interest owned by the Investigator and the Investigator's spouse and dependent child(ren) is (if not readily ascertainable, explain):

How the business/activities of the external entity relate to or are similar to the Investigator's institutional responsibilities (attach a separate page if additional space is needed):

Complete this page for each external entity.

2. Intellectual Property Rights and Interests

Disclose any income related to intellectual property rights and interests (e.g., patents issued, pending patent applications, copyrights) received in the 12 months preceding the date of this disclosure by the Investigator and the Investigator's spouse and dependent child(ren). Royalties related to intellectual property rights assigned to the University, and agreements to share in royalties related to those rights, do not need to be disclosed by Investigators employed or otherwise appointed by the University. *If you have no IP rights or interests to disclose, check "None."*

None

IP 1

Name of external entity:

Aggregate amount of income received by the Investigator and the Investigator's spouse and dependent child(ren):

Description of the intellectual property rights and interests:

How the business/activities of the external entity relate to or are similar to the Investigator's institutional responsibilities
(attach a separate page if additional space is needed):

IP 2

Name of external entity:

Aggregate amount of income received by the Investigator and the Investigator's spouse and dependent child(ren):

Description of the intellectual property rights and interests:

How the business/activities of the external entity relate to or are similar to the Investigator's institutional responsibilities
(attach a separate page if additional space is needed):

Replicate this page for additional IP disclosures.

Disclosure of Reimbursed and Sponsored Travel Related to the Investigator's Institutional Responsibilities

Disclose any travel by the Investigator the cost of which was reimbursed or sponsored (i.e., paid on behalf of the Investigator) by an entity other than the University in the 12 months preceding the date of this disclosure and that was, or could reasonably appear to a non-expert to have been, related to the Investigator's institutional responsibilities. There is no *de minimus* exception for reimbursed and sponsored travel; any reimbursement or payment on behalf of the Investigator for travel must be disclosed. (See Disclosure Exemptions on the first page of this form for travel reimbursed or sponsored by certain types of entities.) *If you have no travel to disclose, check "None."*

None

Travel 1

Name of external entity:

Purpose:

Destination:

Duration:

Monetary value (*if the exact monetary value of travel paid on the Investigator's behalf is not readily available, provide a reasonable estimate of the monetary value:*)

How the business/activities of the external entity relate to or are similar to the Investigator's institutional responsibilities (*attach a separate page if additional space is needed*):

Travel 2

Name of external entity:

Purpose:

Destination:

Duration:

Monetary value (*if the exact monetary value of travel paid on the Investigator's behalf is not readily available, provide a reasonable estimate of the monetary value:*)

How the business/activities of the external entity relate to or are similar to the Investigator's institutional responsibilities (*attach a separate page if additional space is needed*):

Replicate this page for additional travel disclosures.

Investigator's Certification

I certify the following:

- To the best of my knowledge, the information provided on this form is a true, accurate, and complete disclosure of information required by this Financial Interest Disclosure Form;
- During the period of the award, I will update this Financial Interest Disclosure Form annually by July 31.
- During the period of the award, I will update this Financial Interest Disclosure Form within 30 days after discovering or acquiring (through purchase, marriage, inheritance, or otherwise) new financial interests related to, or that could reasonably appear to a non-expert to be related to, my institutional responsibilities as follows: (1) any equity interest in a non-publicly traded entity; (2) an equity interest in a publicly traded entity that, alone or aggregated with remuneration from or equity interest in the same entity within the 12 months preceding the updated disclosure, is valued at more than \$5,000; (3) remuneration from a single external entity (publicly traded or non-publicly traded) that, alone or aggregated with remuneration from the same entity within the 12 months preceding the updated disclosure, exceeds \$5,000; or (4) any income related to intellectual property rights and interests.
- During the period of the award, I will disclose any reimbursed or sponsored travel related to, or that could reasonably appear to a non-expert to be related to, my institutional responsibilities within 30 days of the travel return date.
- I will provide any additional information necessary for the University to comply with its obligations under the PHS regulations;
- I will comply with any conditions or restrictions of a management plan for a potential or actual financial conflict of interest; and
- If the University determines that a financial conflict of interest exists, I understand that a management plan will be implemented before expenditure of any PHS funds.

Signed:	Date:
Name of Investigator:	

Print, sign, and submit the completed form to the head of the University department through which the PHS-funded research is or will be conducted.

Signed:	Date:
Name of Department Head:	

The department head will forward this form to either the Chief Business Officer or the Chief Research Officer (“Designated Official”) for the campus/unit in accordance with instructions provided to department heads by the campus/unit.

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Designated Official's Review and Determination

Check all that apply:

- No financial interest was disclosed.
- No financial interest meets the threshold for a significant financial interest (SFI) under the PHS regulations.
- One or more financial interests meeting the threshold for an SFI under the PHS regulations were disclosed.
- A disclosed SFI is related to the Investigator's PHS-funded research.
- A disclosed SFI is a potential financial conflict of interest that requires management.
- A disclosed SFI is determined to be a financial conflict of interest that requires management.
- The University is required to report the financial conflict of interest to the PHS awarding component.

Signed:	Date:
Name of Designated Official:	

Filing of the Financial Interest Disclosure Form

Check one and forward to the appropriate office:

- University Human Resources Office (University employees)
- Designated Official's Office (non-University employees)