

## INDIVIDUAL INTEREST DISCLOSURE (IID) FORM

**Reference:** OSP Policy No. 16 – Policy on Financial Conflict of Interest in Sponsored Programs

***Instructions:***

Each Study Team member identified on the FID form for this proposal is required to disclose significant financial interests, significant obligations and proprietary interests related to the Investigator's institutional responsibilities or to the project that currently exist and that existed during the previous 12 months.

Each Study Team member has an ongoing responsibility to disclose potential financial interests related to the Investigator's institutional responsibilities prior to proposal submission and annually (by each June 30 following initial disclosure) during the life of the award. If the information included in this IID changes during the pendency of the award, the Study Team member is responsible for submitting an updated IID within thirty (30) days.

The IID form shall be submitted directly to the Office of Sponsored Programs for forwarding to the Office of Research & Technology Transfer.

***Definitions:***

Institutional Responsibilities: An Investigator's professional responsibilities on behalf of the University which may include activities such as research, research consultation, teaching, professional practice, Institutional committee memberships, and service on University panels.

Investigator: The project director or principal Investigator and any other person, regardless of title or position, who is responsible for the design, conduct, reporting, or performing other substantive research activities for sponsored programs as defined herein. Investigators may include academic appointees, staff or students, sub-awardees, subcontractors, consultants, and to be appointed positions as well as any individual whose biographical sketch is included in the proposal or whose name appears in the budget (including subcontract budgets). Spouses, domestic partners, and dependent children are also included for the purposes of disclosure.

Obligations: Any formal and informal positions or relationships that would reasonably appear to be related to the Investigator's institutional responsibilities. Such positions might be paid or unpaid and include being an employee, consultant, member of a speakers bureau, lecturer (for any purpose including educational or promotional lectures), serving as an officer, board member (corporate, advisory, etc.), trustee, or director.

Proprietary Interests: All intellectual property rights that would reasonably appear to be related to the Investigator's institutional responsibilities.

Significant Financial Interest: Anything of monetary value, including, but not limited to, salary or other payments for services (e.g., consulting fees or honoraria); equity interests (e.g., stocks, stock options or other ownership interest); and intellectual property rights (e.g., patents, copyrights, and royalties from such rights), whether or not the value is readily ascertainable, that reasonably appears to be related to the Investigator's institutional responsibilities.

- With regard to any publicly traded entity, 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.

- With regard to any non-publicly traded entity, 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 or dependent children) holds any equity interest (*e.g.*, stock, stock option, or other ownership interest);
- Intellectual property rights and interests (*e.g.*, patents, copyrights), upon receipt of income related to such rights and interests.
- The occurrence of any reimbursed or sponsored travel (*i.e.*, that which is paid on behalf of the Investigator and not reimbursed to the Investigator so that the exact monetary value may not be readily available), related to their institutional responsibilities, no matter the dollar level.

A Significant Financial Interest does not include the following:

- Salary, royalties, or other remuneration from the University if the Investigator is employed by the University;
- 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 even if higher than the \$5,000 significant financial interest threshold;
- Income from seminars, lectures, or teaching assignments sponsored by a federal, state, or local government agency of the U.S., an institution of higher education within the U.S. 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 within the U.S.;
- Income from service on advisory committees or review panels a federal, state, or local government agency of the U.S., an institution of higher education within the U.S. 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 within the U.S.;
- Travel that is reimbursed or sponsored by a federal, state, or local government agency of the U.S., an institution of higher education within the U.S. 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 within the U.S.
- Intellectual property rights and interests (*e.g.*, patents, copyrights), when the rights are assigned to the institution and related agreements.

Disclosures might include (but are not limited to) significant financial interest, significant obligation, or proprietary interest in:

- The entity to which the proposal will be submitted;
- Any entity that owns or has applied for the patent manufacturing or marketing rights to product or procedure involved in, or will predictably result from, the work described in the proposal;
- Any entity that will be a sub-recipient from the University funding resulting from the proposal;
- Any entity that would reasonably be considered as a competing entity with the sponsor of the proposed activity.

Sponsored Program: For purposes of the Policy on Financial Conflict of Interest in Sponsored Programs, a sponsored program is a project or activity undertaken within the University pursuant to funding from an external source to support research, teaching/training or community service.

Sponsored Travel: Travel which is paid on behalf of the Investigator but which is not reimbursed to the Investigator so that the exact monetary value may not be readily available.

**General Information:**

Name of Study Team member whose information is contained herein:

\_\_\_\_\_

Full Academic Title: \_\_\_\_\_

College/Department/Division: \_\_\_\_\_

Briefly describe your Institutional Responsibilities as you understand them to be:

Is this a New IID or an Update to an existing IID:       New IID       Update to existing IID

Name of Lead Principal Investigator: \_\_\_\_\_

Research Project Title: \_\_\_\_\_

Anticipated Sponsor(s) or Funding Sources: \_\_\_\_\_

The items below must be answered separately for each source in which you have a Significant Financial Interest, Obligation, or Proprietary Interest that would reasonably appear to relate to your Institutional Responsibilities or reasonably appear to affect or be affected by the research project. This includes companies that can reasonably be expected to compete with the product or procedure that will predictably result from the work described in the application.

*Please make additional copies of this section or selected pages as necessary.*

**Source of Interest:** \_\_\_\_\_

1. Briefly describe the nature of your interest (including interests of your spouse, domestic partner, and/or dependent children) with this entity.

2. Briefly describe the nature of your interest with the entity as it relates to your Institutional Responsibilities

3. Briefly describe the nature of the entity's involvement with the project for which this application is being submitted.

4. Please indicate the type(s) of interest(s) with this entity that have existed during the previous 12 months, and that currently exist. Please provide details including when interest held and specific amounts if financial. Also, please be sure to refer to the definitions when completing this section.

Significant Financial Interest:

Obligation:

Proprietary Interest:

5. Please indicate and describe any occurrence of reimbursed or sponsored travel related to your Institutional Responsibilities. Travel that is reimbursed or 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 does not need to be reported.

Purpose of Trip \_\_\_\_\_

The identity of the sponsor/organizer \_\_\_\_\_

Destination \_\_\_\_\_

Duration \_\_\_\_\_

Monetary Value \_\_\_\_\_

6. Is there any additional information that may be relevant to the institutional review of this application for actual, apparent, or potential conflict of interest? If yes, please attach information.  Yes  No
7. Are you named in an existing conflict of interest management plan that is relevant to the work and/or one of the entities described herein? If yes, please attach information.  Yes  No

***Investigator Certification***

I affirm my understanding that many conflicts of interest can be managed, reduced, or eliminated after an appropriate evaluation. Further, I understand that the proposed research may not proceed in the absence of such an evaluation. The evaluation will be conducted by the VP-Research and Technology Transfer for the purpose of determining what conditions or restrictions, if any, should be imposed by the institution to manage, reduce, or eliminate such conflicts of interest. I will assist the Office of Research and Technology Transfer and other appropriate University authorities in obtaining the information they need promptly to complete this evaluation. If a management plan is deemed necessary, I will assist in its development and cooperate in its implementation. I will submit an amended Individual Interest Disclosure form if any circumstances relevant to this disclosure change during the life of the award.

*I hereby certify that the information I provided is true, accurate, and complete regarding this disclosure as related to this research project or sponsored program.*

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**Please forward the completed and signed form directly to the Office of Sponsored Programs for forwarding to the Office of Research & Technology Transfer.**

***INDIVIDUAL INTEREST DISCLOSURE (IID) FORM REVIEW***

I have reviewed this Individual Interest Disclosure Form (IID) for the purpose of determining what conditions or restrictions, if any, should be imposed by the institution to manage, reduce, or eliminate conflicts of interest in sponsored programs, and have determined that:

No significant financial interests/obligations/proprietary interests relate to the proposed program

An actual or potential conflict of interest exists.

If an actual or potential conflict of interest exists, the Office of Research and Technology Transfer will notify the Investigator and work with him/her in the development and implementation of a management plan.

\_\_\_\_\_  
Gary Margules, Sc.D.  
VP-Research & Technology Transfer  
[Margules@nova.edu](mailto:Margules@nova.edu)

\_\_\_\_\_  
Date