



Temple University
Office of the Senior Vice Provost for
Research and Graduate Education
Sponsored Projects Administration (SPA)

Main: 204-6938 • HSC: 707-3390

www.research.temple.edu/spa

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SPAF #:

Investigator Significant Financial Interest Disclosure Form

Please follow instructions on reverse side. This form may be downloaded from the SPA Web site above.

Investigator Name	
Department/Center	
College/School	
Proposal Title	
Proposal Submitted to	

I disclose the following significant financial interests and enclose supporting documentation (check all that apply):

<input type="checkbox"/>	Salary or other payments for services (e.g., consulting fees or honoraria).
<input type="checkbox"/>	Equity interests (e.g., stocks, stock options, or other ownership interests).
<input type="checkbox"/>	Intellectual property rights (e.g., patents, copyrights, and royalties from such rights).
<input type="checkbox"/>	Other significant financial interests that possibly could affect or be perceived to affect the results of the research or educational activities funded or proposed for funding.

I Agree:

(i)	to cooperate in the development of a Memorandum of Understanding intended to manage, reduce, or eliminate any actual or potential conflict of interest;
(ii)	to either comply with any conditions or restrictions imposed by the Memorandum of Understanding or forfeit the award; and
(iii)	to update this disclosure during the term of the award, either on an annual basis or as new reportable significant financial interests are obtained;

Signature	Date
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Instructions
<p>Background</p> <p>Federal regulations require universities to have in place policies and procedures to ensure that all investigators disclose, prior to submission of a proposal, any significant financial interests that may present an actual or potential conflict of interest in relation to research or educational activities funded, or proposed for funding by PHS or NSF, or reportable in any way to the FDA. Institutions must develop specific mechanisms by which conflicts of interest will be satisfactorily managed, reduced or eliminated prior to acceptance of an award</p>
<p>Who is covered</p> <p>“Investigator” means the principal investigator/project director, co-principal investigator(s), and any other person designated by the principal investigator as responsible for the design, conduct, or reporting of research or educational activities funded, or proposed for funding by PHS or NSF, or reportable in any way to the FDA. In this context, the term “Investigator” includes any Investigator’s spouse and dependent children.</p>
<p>What is covered</p> <p>Each Investigator must disclose any significant financial interests that may present an actual or potential conflict of interest in relation to research or educational activities funded, or proposed for funding by PHS or NSF, or reportable in any way to the FDA. The term “significant financial interests” means anything of monetary value, including but not limited to the following:</p> <ul style="list-style-type: none"> (i) salary or other payments for services (e.g., consulting fees or honoraria); (ii) equity interests (e.g. stocks, stock options, or other ownership interests); (iii) intellectual property rights (e.g., patents, copyrights, and royalties from such rights); (iv) other significant financial interests that possibly could affect or be perceived to affect the results of the research or educational activities funded or proposed for funding.
<p>What is NOT covered</p> <p>The term “significant financial interests” does NOT include:</p> <ul style="list-style-type: none"> (i) salary, royalties, or other remuneration from Temple University; (ii) income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities; (iii) income from service on advisory committees or review panels for public or nonprofit entities; (iv) financial interests in enterprises or entities, if the value of such interests for any one enterprise or entity is, when aggregated for the investigator and the investigator’s spouse and dependent children, less than \$10,000 (or \$10,000 annually if such interests represent salary, fees or other continuing payments) and constitutes less than 5% ownership interest.
<p>Procedures</p> <p>Each Investigator must make the disclosure by completing this form and attaching it to the SPAF. Supporting documentation is submitted in a sealed envelope marked “confidential” and addressed to Vice Provost for Research. If new reportable significant financial interests are obtained at any time prior to the end of the award period, a new disclosure must be filed.</p> <p>All disclosures are reviewed by an Oversight Committee established by the Vice Provost for Research. If an actual or potential conflict of interest is identified, the issue is referred to the cognizant Dean (or, for a Dean, to the next higher level of academic administration), who is then responsible for developing, together with the Investigator, a Memorandum of Understanding designed to manage, reduce or eliminate the conflict of interest prior to acceptance of an award. The Memorandum of Understanding must be approved by the Oversight Committee.</p>