

**Disclosure of Significant Financial Interest
Public Health Service and National Science Foundation
Grants and Cooperative Agreements**

Before completing, please read Smith College's Policy on [Academic Financial Conflict of Interest in Research for Public Health Service and National Science Foundation Grants and Cooperative Agreements](#). The following disclosure is made pursuant to the requirements of the regulation Responsibility of Applicants for Promoting Objectivity in Research for which Public Health Service Funding is Sought (42 CFR Part 50 and 45 CFR Part 94), and the requirements set forth by the National Science Foundation. This disclosure must be completed prior to the submission of a grant application, updated annually, and whenever new reportable significant financial interests are acquired.

DEFINITIONS

Significant financial interests that could directly affect the design, conduct, or reporting of research must be disclosed. Smith College will review disclosures to determine if financial interests may create an actual or potential financial conflict of interest with the project and the institutional responsibilities of the investigator(s). Federal regulations require that financial conflicts of interest are appropriately reported and managed.

Significant Financial Interest is defined as one or more of the following that reasonably appears to be related to the investigator's institutional responsibilities: (a) any equity interest (e.g., stock, stock option, or other ownership interest) in a non-publicly traded entity, or the value of remuneration (e.g., salary, consulting fees, honoraria, paid authorship) received from the entity which, when aggregated, exceeds \$5,000; (b) equity interest or the value of remuneration from a publicly traded entity which, when aggregated, exceeds \$5,000; (c) intellectual property rights and interests, upon receipt of income related to such rights and interests which, when aggregated, exceeds \$5,000; and (d) any reimbursed or sponsored travel (i.e., paid on behalf of the investigator). **The disclosure period is the twelve months preceding the date of disclosure.**

The term does **not** include (a) salary, royalties or other remuneration from Smith College, including intellectual property rights assigned to the college and agreements to share in royalties related to such rights; (b) income from seminars, lectures, teaching engagements, or service on advisory committees or review panels sponsored by a federal, state, or local government agency, a U.S. institution of higher education, a teaching hospital, medical center, or research center affiliated with an institution of higher education; or (c) income from investment vehicles, such as mutual funds or retirement accounts, as long as the investigator does not directly control the investment decisions made in these vehicles. These financial interests are not included in the definition regardless of total dollar amount (the threshold amount is not applicable due to the source of funding).

Investigator is defined as the Principal Investigator and any other person responsible for the design, conduct, or reporting of research, educational, or service activities funded, or proposed for funding. For the purposes of this disclosure requirement, the term "investigator" includes the investigator's spouse and dependent children.

Please complete name and department

Investigator Name

Department

Check here if there are no significant financial interests to disclose and sign the form on page two.

DISCLOSURES (ATTACH FULL DESCRIPTION AND SUPPORTING DOCUMENTS IN AN ENVELOPE MARKED CONFIDENTIAL)

REMUNERATION

salary or other payment for services from a public or non-publicly traded entity
estimated value \$

EQUITY INTEREST

stock, stock options, or other ownership interest in a public or non-publicly traded entity
estimated value \$

INTELLECTUAL PROPERTY RIGHTS AND INTERESTS

estimated value \$

REIMBURSED OR SPONSORED TRAVEL EXPENSES

Purpose of the trip

Sponsor

Destination

Duration

Reimbursed Amount or Estimated Value \$

Signature _____

Date