

## NMHU's Investigators' Annual Disclosure of Conflict and Financial Interest

Investigator: \_\_\_\_\_ Department: \_\_\_\_\_

Funding Agency: \_\_\_\_\_ Proposal # (if known) \_\_\_\_\_

Each investigator must complete this disclosure form and submit it with each proposal for new or renewal support of sponsored NMHU research or nonsponsored NMHU research that involves human subjects, animal subjects, or research funded by an award from internal NMHU sources.

**1. In terms of the research being proposed, do you (including your spouse, domestic partner, and dependent children) have any of the financial interest(s) described below? Financial interests are considered "related to the research" if:**

- they are in the sponsor of the research (even if unrelated to the research being proposed),
- they are in an entity conducting research or business in the same general field as the proposed research (such as a competitor of a drug company or other research sponsor),
- they are in an entity whose interests could be affected by the research (such as a company with ties to the research or whose business might be affected by the outcome of the research), or
- they could be affected by the research (such as where the research outcome might affect the value of stock or the necessity for continued consulting services):

*(Circle "yes" or "no" for each statement)*

YES NO Aggregated salary, royalties or other payments, such as consulting fees and honoraria, other than through NMHU are expected to total more than \$10,000 over the next 12 months.

YES NO Equity interests in a single entity, such as stocks, stock options and other ownership interests, are more than \$10,000.

YES NO Equity interests in a single entity, such as stocks, stock options and other ownership interests, represent more than a 5% ownership interest.

YES NO Intellectual property rights, such as patents and copyrights, or royalties from these rights, are other than through NMHU.

**2. Do you have any of the following:**

*(Circle "yes" or "no" for each statement)*

YES NO An agreement with one or more private parties that could appear to give preferential treatment over a government funding agency or other sponsor of the project (e.g. first delivery of project data).

YES NO An agreement to receive financial benefits from the research beyond what is described in the proposal budget submitted to NMHU.

YES NO Outside employment that could appear to cause a potential conflict with this research, or raise questions about your professional commitments in undertaking the research or your primary allegiance to NMHU.

YES NO A position as a director, officer, partner, trustee, manager or employee of an outside entity that conducts business in an area related to the research.

**3. Are you aware of any other potential or actual conflict of interest situations in this research? (Circle one) YES NO**

**If I answered YES to any of the above questions, I described the situation in detail on a separate sheet and attached it to this form.** I know of no other potential or actual conflict of interest situations in this research. I will report any change within 30 days after it occurs.

\_\_\_\_\_  
Signature of Investigator

\_\_\_\_\_  
Date

## Definition of Terms

### Conflicts of Interest

As defined under Section 9.2 of NMHU's Research Handbook, a conflict of interest arises when a faculty or staff member diverges from the university's professional obligations to a private interest involving actions which are determined by significant personal gain, financial gain or interests.

### Significant Financial Interests and Other Examples of Situations Requiring Disclosure

Based on Section 9.3.2. of NMHU's Research Handbook, significant financial interests include those of the investigator, his or her spouse or domestic partner and dependent children. Generally, the following financial interest must be disclosed.

- An equity interest (e.g., stocks, stock options or other ownership interests) that, when aggregated for the investigator, spouse and dependent children, does not exceed \$10,000 in value as determined through reference to public prices or other reasonable measures of fair market value, and does not represent more than a five percent ownership interest in any single entity;
- Salary, royalties or other payments that, when aggregated for the investigator and the investigator's spouse and dependent children, are not expected to exceed \$10,000 over a twelve-month period.
- Intellectual property rights (e.g., patents, copyrights and royalties) other than through NMHU;
- Other financial interests of value (honoraria, benefits, gifts, equipment); and
- Other significant interest includes serving as an entity's: Director, Officer, Partner, Trustee, Manager or Employee.

Other examples of situations requiring disclosure include:

- Investigators' spouse or domestic partner owns at least 10% of the sponsoring company;
- Investigator receives consulting fees from a company performing research in the same area of the research being proposed;
- Investigators' spouse or domestic partners' consulting company submitted a proposal to the same federal agency for similar work; and
- After the project is completed, the investigator expects to consult for the sponsor on how to use results.

### Investigators

Disclosure is applicable to all investigators, including faculty, staff and students. Investigators are defined as anyone responsible for a task that could have a significant effect on the design, conduct or reporting of the research. It is the responsibility of the PI to identify the investigators and inform them of the policy requirements. Non-NMHU investigators employed by sub-award institutions must follow their institutions COI policy, or if none exist they may use NMHU's process. Non-NMHU investigators (individual consultants) must file *NMHU's Annual Certification of Compliance to Faculty and Staff on Conflict of Commitment and Interest Disclosure Form*.