

**FINANCIAL CONFLICTS OF INTEREST (FCOI)
DISCLOSURE FORM FOR RESEARCH**

The following definitions apply in the Financial Conflicts of Interest Disclosure Form for Sponsored Research:

“Institutional Responsibilities” means an investigator’s professional responsibilities on behalf of the University, which may include for example: activities such as 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 or Principal Investigator and any other person, regardless of title or position, who is responsible for the design, conduct or reporting of research, which may include, for example, consultants or collaborators.

“Research” means a systematic investigation, study or experiment designed to develop or contribute to generalizable knowledge relating broadly to public health, including behavioral and social-sciences research. The term encompasses basic and applied research (e.g., a published article, book or book chapter) and product development (e.g., a diagnostic test or drug). The term includes any such activity for which research funding is available from a PHS Awarding Component through a grant, cooperative agreement, or contract, whether authorized under the PHS Act or other statutory authority, such as a research grant, career development award, center grant, individual fellowship award, infrastructure award, institutional training grant, program project, or research resources award.

Investigators, including subrecipient Investigators following GW Policy, must disclose all financial interests, foreign appointments, foreign-sourced income, and in-kind support, regardless of value, received from:

- 1) a foreign institution of higher education, including any affiliated research institutes;
- 2) a foreign academic teaching hospital or medical center; and
- 3) the government of a foreign country (which includes local, provincial, or equivalent governments of another country).

I certify that I have read and understood the information provided in this document.

Signature

Print Name Here

Date: _____

Financial Conflicts of Interest Disclosure Form for Research

Pursuant to GW's Policy on Outside Interests, Relationships, and Professional Activities

<https://compliance.gwu.edu/policy-outside-interests-relationships-and-professional-activities>

This form must be completed by investigators who plan to participate in research to be funded by any research sponsor. **Please answer all of the questions. Do not leave any questions blank. If a question does not apply to you, simply put "N/A" or "None" in the box.** Once completed, this form should be sent by email to rescomp@gwu.edu for filing. It is also recommended that you save an electronic copy of your completed form for future reference and updates. If the form is associated with a project currently pending, please also let us know in the body of the email to rescomp@gwu.edu.

GWID: _____

Investigator Name: _____

Department/Unit: _____

School/Unit: _____

Title of Proposal: _____

Project PI: _____

Sponsor: _____

This form asks you to provide information regarding outside financial interests that are or reasonably appear to be related to your institutional responsibilities at GW. Please note that this is a personal form.

Significant Financial Interests

(1) Have you received any remuneration, gift, or in-kind support, regardless of amount, from a foreign institution of higher education, foreign academic teaching hospital, and/or the government of a foreign country (which includes local, provincial, or equivalent governments of another country)?

Yes

No

(2) Have you negotiated participation or participated in a Foreign Talent Recruitment Program by a foreign institution of higher education, foreign academic teaching hospital, and/or the government, at any level, of a foreign country?

Yes No

If you answered Yes to question 1 or 2, please provide additional details, including identifying the foreign entity, describing your relationship to it, and including the approximate value of any remuneration received.

Definition: As defined in NSPM-33 Implementation Guidance, Foreign Talent Recruitment Program: means efforts “organized, managed, or funded by a foreign government, or a foreign government instrumentality or entity, to recruit science and technology professionals or students.” These efforts involve various forms of compensation, including cash, salaries, research funding, honorific titles, in-kind support, among others. Participating in a foreign talent recruitment program is not illegal. However, some Foreign Talent Recruitment Programs seek to misappropriate research and intellectual property through illicit or illegal means. The Federal Government has identified such programs as “Malign Foreign Talent Recruitment Programs” (MFTRP) and has banned participants in MFTRPs from receiving funds from federal sponsors.

Significant Financial Interests in *Publicly-Traded* Entities

(3) Do you, your spouse/domestic partner, or your dependent children have any of the following interests in a publicly-traded entity that, alone or when aggregated, exceeds \$5,000 and that is or reasonably appears to be related to your institutional responsibilities at GW:

- Remuneration (such as consulting fees, honoraria, or paid authorship) received in the last twelve months
- Equity interest (stock, stock options, or other ownership interest)

If so, please provide details, including the name of the outside entity, the nature of the activity for which remuneration was received, the amount of remuneration received over the last twelve months, the value of any equity interest as of the date of this disclosure (as determined through reference to public prices or other reasonable measures of fair market value), the percentage of ownership interest in the outside entity, and the manner in which the equity interest was acquired.

Significant Financial Interests in Non-Publicly-Traded Entities

(4) Have you, your spouse/domestic partner, or your dependent children received from a non-publicly traded entity over the last twelve months any remuneration (such as consulting fees, honoraria, or paid authorship) that is or reasonably appears to be related to your institutional responsibilities at GW? (A non-publicly-traded entity may be for-profit, non-profit, or governmental, but does not include GW.)

If so, please provide details, including the name of the outside entity, the nature of the activity for which payment was received, and the amount of the remuneration received over the last twelve months.

(5) Do you, your spouse/domestic partner, or your dependent children hold, in a non-publicly-traded entity, any equity interest (e.g., stock, stock option, or other ownership interest) that is or reasonably appears to be related to your Institutional Responsibilities at GW? (Please note that this question applies to any equity interest, regardless of value.)

If so, please provide details, including the name of the outside entity, the dollar value and percentage of ownership interest in the outside entity, and the manner in which the equity interest was acquired.

Intellectual Property Rights and Interests

(6) Do you, your spouse/domestic partner, or your dependent children have any intellectual property rights and interests (e.g., patents and copyrights) from which you or they have received any related income in the last twelve months and that are or reasonably appear to be related to your institutional responsibilities at GW? (Please note that this question applies regardless of the value of the income received. You need not disclose intellectual property rights assigned to GW and agreements to share in royalties related to such rights.)

If so, please provide details, including the nature of the intellectual property rights and interests, how they were acquired, and the amount of income received.

Reimbursed or Sponsored Travel

(7) Please disclose any reimbursed or sponsored travel, regardless of value that occurred in the last twelve months and that is or reasonably appears to be related to your institutional responsibilities at GW. (You need not disclose travel that is reimbursed or sponsored by GW, a Federal, state, or local government agency, an institution of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education.)

(a) What was the purpose of the trip?

(b) What is the name of the organization that reimbursed or sponsored the travel?

(c) What was the destination of the trip?

(d) What was the duration of the trip?

(8) Do you believe that any of the Financial Interests you described in response to Questions (1)-(5) relate to any federally funded proposal or award on which you are an Investigator? Please explain.

Note: A Financial Interest relates to federally-funded research if (a) the Financial Interest could be affected by the sponsored research or (b) the Financial Interest is in an entity whose financial interest could be affected by the sponsored research.

I certify that all of the foregoing information in this form is true and complete to the best of my knowledge. I acknowledge that, during the period of a federally-funded award, I am required to update this form annually and within 30 days of discovering or acquiring a new Significant Financial Interest.

Signature

Date

Full Name (Printed)

Position Title