

APPALACHIAN STATE UNIVERSITY
CONFLICTS OF INTEREST ADDENDUM FOR PHS INVESTIGATORS
Academic Year: 2012-13

Purpose: Appalachian is responsible for ensuring that all Public Health Service (PHS) funded research complies with the PHS regulations for promoting objectivity in research, which are generally referred to as the PHS conflict of interest policy. All PHS investigators, including those that are neither employees of the university and those that are not compensated for their services, are required to complete this form annually and within 30 days of acquiring any new financial interest that falls within the categories below unless the University has negotiated otherwise with a subcontractor.

Confidentiality Statement: The information you provide is confidential and will be used only as necessary to report, identify, and manage conflicts of interest as required by the PHS.

Instructions: Complete the form, sign, and send to If you have questions about this form, contact the Office of General Counsel or consult coi.appstate.edu (tentative website).

Definitions:

- **Immediate Family** is defined as your spouse, and dependent children.
- **Public Health Service** comprises all Agency Divisions of the U.S. Health and Human Services including the National Institutes of Health, Centers for Disease Control, Substance Abuse and Mental Health Services Administration, Food and Drug Administration, Agency for Healthcare Research and Quality, Indian Health Services, and the Agency for Toxic Substances and Disease Registry.
- **Public Health Service (PHS) investigator** is defined as the project director, principal investigator, and any other person, regardless of title or position, who is responsible for the design, conduct, or reporting of research funded or proposed for funding by the PHS, which may include, for example, collaborators or consultants. The Principal Investigator listed on the PHS proposal/grant is responsible for determining whether you are responsible for the design, conduct, or reporting of the research.
- **Publicly traded entity** is any company or other form of corporation for which stock, shares, or other types of ownership can be traded on an open market.
- **Non-publicly traded entity** is any company or other form of corporation for which stock, shares, or other types of ownership are not traded on an open market.

Section I: General information

Date:

Name:

Title and Rank:

Department:

College:

I am reporting on activities:

- for the past 12 months
- as an addendum to my most recent report with no changes
- as an addendum to my most recent report with new information

I am a Public Health Service Investigator:

- No Yes
- No, but plan to submit a PHS proposal in the next ___ months.

Section II: Financial interests in publicly traded entities

If you or your immediate family:

- received anything of monetary value (such as salary, honoraria, payment for services, stock, stock options, consulting fees, paid authorships, or anything else of monetary value) from a publicly traded entity and the combined value of all such financial interests received by you or your immediate family exceeds \$5,000 in the past 12 months, or

- own or have owned in the past 12 months stocks, shares, stock options, or other types of ownership interest and the combined value of those currently held or held in the preceding twelve months exceeds \$5,000,

then you need to provide the following information (a, b, and c) for each entity.

Do NOT include income from investment vehicles, such as mutual funds and retirement accounts, if you do not directly control the investment decisions made in these vehicles.

- (a) The name of the entity
- (b) The nature of the financial interest (e.g., salary, consulting fee, equity, stock option, paid authorship, etc.)
- (c) The value of the financial interest:
 - \$5,000 - \$9,999;
 - \$10,000 - \$19,999;
 - \$20,000 - \$100,000 by increments of \$20,000, e.g., \$40,000 - \$60,000;
 - above \$100,000

Section II: Financial interests in non-publicly traded entities

If you or your immediate family:

- received anything of monetary value (such as salary, honoraria, payment for services, consulting fees, paid authorships, or anything else of monetary value other than an ownership interest in the entity) from a non-publicly traded entity within the past 12 months and the combined value of all such financial interests received by you or your immediate family exceeds \$5,000, or
- hold any ownership interest (e.g., stocks, shares, Limited Liability Corporation memberships) in a non-publicly traded company within the past 12 months regardless of the value of that ownership interest.

Do NOT include:

- income from investment vehicles, such as mutual funds and retirement accounts, if you do not directly control the investment decisions made in these vehicles
- salary, royalties, or other remuneration from Appalachian State University
- income from seminars, lectures, teaching engagements, service on advisory committees or review panels sponsored by public or (a) any federal, state or local government agency, (b) any institution of higher education, or (c) any teaching hospital, medical center or research institute that is affiliated with an institution of higher education.

- (a) The name of the entity
- (b) The nature of the financial interest (e.g., salary, consulting fee, equity, stock option, paid authorship, etc.)
- (c) The value of the financial interest:
 - \$5,000 - \$9,999;
 - \$10,000 - \$19,999;
 - \$20,000 - \$100,000 by increments of \$20,000, e.g., \$40,000 - \$60,000;
 - above \$100,000

Section III: Financial interests in intellectual property

If you or your immediate family receive income of any form from intellectual property such as patents, copyrights, and trademarks you must provide the following information unless the intellectual property is owned by Appalachian State University and all the income you receive from that intellectual property is provided to you through Appalachian State University.

- (a) The type of intellectual property (for patents include the patent or patent application number and title)
- (b) The nature of the financial interest (e.g., royalty payments, equity in start-up companies, etc.)
- (c) The value of the financial interest:
 - \$5,000 - \$9,999;

- \$10,000 - \$19,999;
- \$20,000 - \$100,000 by increments of \$20,000, e.g., \$40,000 - \$60,000;
- above \$100,000

Section IV: Travel

You do not have to report travel that is reimbursed to you through Appalachian or that is sponsored (a) by Appalachian State University, (b) by any United States federal, state, or local government agency, (c) by any institution of higher education, or (d) by any teaching hospital, medical center, or research institute that is affiliated with an institution of higher education. Provide the following information for any other sponsored or reimbursed travel by you or your immediate family:

- (a) The traveler
- (b) The purpose of the travel
- (c) The identity of the sponsor/organizer of the travel
- (d) The destination of the travel
- (e) The duration of the travel.
- (f) Amount reimbursed (if known)
- (g) Dates of travel

Section V: Certification

I have read and understand Appalachian State University’s Conflict of Interest and Commitment Policy and Guidelines for Faculty/EPA Administrative Personnel (available at policy.appstate.edu) and have completed this report to the best of my knowledge. I will cooperate with a review of this information and if required, I will comply with any conditions or restrictions imposed by Appalachian State University to manage any real or perceived conflicts or eliminate the identified conflict.

Should my outside financial or managerial interests, or those of my immediate family, change in a way that results in different answers to any of the questions asked in this report; I agree to submit a revised report within 30 days.

Date

Signature