**Annual Declaration of Significant Financial Interests:[[1]](#endnote-1)   
Form for Investigators whose research is funded by the   
US National Institutes of Health**

The US Department of Health and Human Services (DHHS) requires all Investigators[[2]](#endnote-2) whose research is funded by the US National Institutes of Health (either directly or via a sub-contract with another University) to disclose all Significant Financial Interests related to their institutional responsibilities[[3]](#endnote-3).

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| Section 1 | | Personal details[[4]](#endnote-4) | | | | |  | | | |  | |  |
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| Title of NIH  Research Project | |  | | | | | | | | | | |  |
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| NIH Institute Funding the research (e.g. National Cancer Institute, National Institute on Aging | |  | | | |  | | Project start date: | | | | (dd/mm/yyyy) |  |
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| NIH Grant reference number | |  | | | | | | | | | | |  |
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| **Section 2** | | **Conflicts of interest[[5]](#endnote-5)** | | |  | | | | | |  | |  |
| The purpose of this declaration is to ensure that Significant Financial Interests are disclosed and, if these are considered to present a Financial Conflict of Interest, that these are reduced, managed or eliminated.  Please provide information on any Significant Financial Interest. | | | | | | | | | | | | |  |
|  | **Name of organisation in which you have a Significant Financial Interest** | |  | **Details of Significant Financial Interest (e.g. directorship, consultancy, shareholding etc.)** | | | | |  | **Approximate value (£) of the Significant Financial Interest** | | |  |
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| Section 2 (continued) | | | Conflicts of interest | | |  |  | |  |
|  | **Name of organisation in which you have a Significant Financial Interest** | |  | **Details of Significant Financial Interest (e.g. directorship, consultancy, shareholding, reimbursed travel etc.)** | |  | **Approximate value (£) of the Significant Financial Interest** | |  |
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| In submitting this form, I certify that the information I have provided indicates all Significant Financial Interests with regard to my position at the University of Oxford.  I acknowledge that I am obliged to disclose promptly to the University (and within 30 days of acquiring) any Significant Financial Interest that may arise after submission of this form.  I understand that the information provided on this form will be held and processed by the University for the purposes of :   1. maintaining a register of declarations of Significant Financial Interest: 2. assessing and identifying Financial Conflicts of Interest as required by the DHSS 3. managing such conflicts and reporting and responding to the DHSS accordingly; 4. providing responses to any request for information regarding identified Financial Conflicts of Interest made by members of the public; and 5. providing information on declarations and any identified Financial Conflicts of Interest to the DHSS   subject to the provisions of the Data Protection Act 1998.  I understand that the University will continue to hold this data and any related documents for three years from the date that the final expenditures report is submitted in relation to the project.  I understand that the University is obliged by [DHHS regulations](http://www.gpo.gov/fdsys/pkg/FR-2011-08-25/pdf/2011-21633.pdf) to make information available concerning identified Financial Conflicts of Interest by a written response to any requestor within five business days of receiving such a request. I understand that such data may be provided by the University for up to three years after the date on which the information in relation to the declaration was most recently updated. I consent to the University disclosing my data to any requestor in this way.  I consent to the University sharing information with the DHHS about this disclosure. | | | | | | |  |
| Signed |  | | | Date | |  |  |
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| **Please return the form in hard copy or by email to your head of department/faculty (if the form is being completed by a head of department, this should be returned to the Head of Division).**  **If, in the opinion of your Head of Department (or Division), any of the Significant Financial Interests declared represent a Financial Conflict of Interest, a copy of the completed form should then be sent to:**  **Secretary of the Conflict of Interest Committee (Email:** [**coisec@admin.ox.ac.uk**](mailto:coisec@admin.ox.ac.uk)**)**  **University Offices, Wellington Square**  **Oxford  OX1 2JD** | | | | | | |  |
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If you have signed this declaration but want to supply any additional details or clarify any points, please add them in the space below or attach additional sheets

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The full text of the NIH’s regulations (entitled *Responsibility of Applicants for Promoting Objectivity in Research for which Public Health Service Funding is Sought and Responsible Prospective Contractors*) is available at <http://grants.nih.gov/grants/policy/coi/fcoi_final_rule.pdf>.

Frequently Asked Questions about the NIH’s regulations on Financial Conflicts of Interest are available at <http://grants.nih.gov/grants/policy/coi/coi_faqs.htm> .

1. The regulations define ‘Significant Financial Interest’ as follows:

   “A financial interest consisting of one or more of the following interests of the Investigator (and those of the Investigator’s spouse and dependent children) that reasonably appears to be related to the Investigator’s institutional responsibilities:

   (i) With regard to any publicly traded entity, a significant financial interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure and the value of any equity interest in the entity as of the date of disclosure, when aggregated, exceeds $5,000.  For purposes of this definition, remuneration includes salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship); equity interest includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value;

   (ii) With regard to any non-publicly traded entity, a significant financial interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure, when aggregated, exceeds $5,000, or when the Investigator (or the Investigator’s spouse or dependent children) holds any equity interest (e.g., stock, stock option, or other ownership interest); or

   (iii) Intellectual property rights and interests (e.g., patents, copyrights), upon receipt of income related to such rights and interests.

   iv) Any reimbursed or sponsored travel (i.e., that which is paid on behalf of the Investigator and not reimbursed to the Investigator so that the exact monetary value may not be readily available), related to institutional responsibilities. Excludes travel reimbursed or sponsored by Federal, state, or local government agency, an Institution of higher education, an academic teaching hospital, a medical center, or a research institute affiliated with Institution of higher education. [↑](#endnote-ref-1)
2. Investigator is defined as 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 funded by the US Public Health Service (e.g., NIH), or proposed for such funding, which may include, for example, collaborators or consultants. [↑](#endnote-ref-2)
3. Institutional responsibilities are defined as teaching/education, research, outreach, clinical service, training and University and public service, on behalf of the University of Oxford and directly related to those credentials, expertise and achievements upon which the Investigator’s University of Oxford position is based [↑](#endnote-ref-3)
4. The information given on this form will be kept securely by the University and in accordance with the Data Protection Act 1998, subject to any disclosure to any requestor and the DHHS. The form may be inspected at the discretion of the Chairman of the Conflict of Interest Committee or the Registrar. [↑](#endnote-ref-4)
5. The University’s [Policy on Conflict of Interest](http://www.admin.ox.ac.uk/researchsupport/integrity/conflict/) provides further information. [↑](#endnote-ref-5)