

Principal Investigator: Requested Start Date:

Title of Research

About: The purpose of this form is to identify and evaluate potential conflicts of interest in research that may affect the rights and welfare of human subjects.

Instructions: The principal investigator must also identify each person involved with the project who, by the definition given below, qualifies as an "investigator." It is the principal investigator's responsibility to insure that each investigator has been advised of the conflict of interest disclosure (COID) policy and has reviewed and signed this COID form. Proposals will not be reviewed until all investigators have signed the form. The principal investigator must complete and submit to the IRB this COID statement along with the appropriate IRB application form in each of the following circumstances.

- Each time a new proposal is submitted to the IRB for review whether it is funding by a federal agency or a non- governmental (for-profit or not-for-profit) sponsor.
- Any time a new investigator is added to the project.
- Any time during the term of an ongoing award that an Investigator has a change in reportable Significant Financial Interest or acquires a new Significant Financial Interest that was not reported on the original disclosure form.

List all Research Sponsors: 1. 2.

List all business entities owning or licensing technologies being tested: 1. 2.

List any additional business entities involved in or potentially affected by the research project: 1. 2.
 3. 4.

List Investigators to be paid through NPS as employees:	List Investigators to be paid through NPS as consultants:	List Investigators to be paid through Subcontractors:	List Investigators not paid by NPS or unpaid investigators.
1. <input type="text"/>	1. <input type="text"/>	1. <input type="text"/>	1. <input type="text"/>
2. <input type="text"/>	2. <input type="text"/>	2. <input type="text"/>	2. <input type="text"/>
3. <input type="text"/>	3. <input type="text"/>	3. <input type="text"/>	3. <input type="text"/>
4. <input type="text"/>	4. <input type="text"/>	4. <input type="text"/>	4. <input type="text"/>

Who designed the study?

Where was the study designed?

Where will the results be analyzed?

Who will analyze the results?

Conflict of Interest Questions		Yes	No
a.	Do you, or does any member of your family have or receive a significant financial interest in or from the research sponsor or from a related business entity affected by the research?	<input type="checkbox"/>	<input type="checkbox"/>
b.	Do you, or does any member of your family receive income including any payment such as salary or consulting fees, royalty payments, reimbursement of expenses of \$5,000 or more from the research sponsor or a related business entity?	<input type="checkbox"/>	<input type="checkbox"/>
c.	Do you or does any member of your family own or have any other financial interest in an entity that is proposed as a subcontractor, consortium member or lesser, that is involved in the project?	<input type="checkbox"/>	<input type="checkbox"/>
d.	Do you or does any member of your family have any agreement to receive financial benefit from the research beyond what is described in the proposal budget?	<input type="checkbox"/>	<input type="checkbox"/>
e.	Do you or does any member of your family have 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 NPS?	<input type="checkbox"/>	<input type="checkbox"/>
f.	Do you or does any member of your family have 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?	<input type="checkbox"/>	<input type="checkbox"/>
g.	Do you or any member of your family have equity interests such as stocks, stock options or other ownership interests in the research sponsor or related business entities that represent more than 5% equity interest?	<input type="checkbox"/>	<input type="checkbox"/>
h.	Do you or any member of your family have an inventive or ownership interest in any intellectual property that will be utilized in this project?	<input type="checkbox"/>	<input type="checkbox"/>
i.	Have you assigned any student, postdoctoral fellow or other trainee, officer, support staff or other individual to a project sponsored by the research sponsor or related businesses entities?	<input type="checkbox"/>	<input type="checkbox"/>
j.	Do you serve on the Board of Directors or Scientific Advisory Board of the research sponsor or related business entities?	<input type="checkbox"/>	<input type="checkbox"/>
k.	Are you a member of a 'Speakers Bureau' or other list of approved speakers concerning the products or services of the research sponsor or related business entities?	<input type="checkbox"/>	<input type="checkbox"/>
l.	Have you taken any administrative action within the University which is likely to benefit the research sponsor or related business entities?	<input type="checkbox"/>	<input type="checkbox"/>
m.	Do you participate in research on a technology owned or contractually obligated (including by license or exercise of an option to license) to the research sponsor or related business entities?	<input type="checkbox"/>	<input type="checkbox"/>
n.	Have you participated in or otherwise influenced any university transaction to buy, sell, lease, or license real or intellectual property to or from the research sponsor or related business entities?	<input type="checkbox"/>	<input type="checkbox"/>

List below the names of each member of the research team and check whether they have answered "Yes" to the conflict of interest questions listed below. Each member with a conflict of interest will be contacted by the IRB for additional information.

Name of Research Member	Signature	Conflict of Interest Exists	
		Yes <input type="checkbox"/>	No <input type="checkbox"/>
		Yes <input type="checkbox"/>	No <input type="checkbox"/>
		Yes <input type="checkbox"/>	No <input type="checkbox"/>
		Yes <input type="checkbox"/>	No <input type="checkbox"/>
		Yes <input type="checkbox"/>	No <input type="checkbox"/>
		Yes <input type="checkbox"/>	No <input type="checkbox"/>

Principal Investigator Certification:

I certify that all members of the study team have answered the conflict interest questions and those with a conflict of interest are listed above with the box "Conflict of Interest Exists" checked and a description of the conflict of interest is attached.

PI Signature Field.

Digital signatures now accepted.

Date _____

IRB Conflict of Interest Definitions

"Business Entity" of a researcher means any trust, organization or enterprise other than the University over which the researcher, alone or together with his family, exercises a controlling or significant interest.

The **Family** of a researcher includes his spouse or dependent children, whose financial holdings are known to the researcher.

Research Sponsor means any entity providing financial support for the research activity involving human subjects described in this application.

Technology means any methodology, information, system or procedure.

Significant Financial Interests means anything of monetary value, including but not limited to, salary or other payments for services (e.g. consulting fees or honoraria); equity interests (e.g. stocks, stock options or other ownership interests); intellectual property rights (e.g. patents, copyrights and royalties from such rights).

The term, "Significant Financial Interest" does not include the following (42 CFR 50.603):

1. Salary, royalties or other remuneration from the Naval Postgraduate School;
2. Income from seminars, lectures, or teaching engagements sponsored by public or non-profit entities;
3. Income from services on advisory committees or review panels for public or nonprofit entities;
4. Equity interest that when aggregated for the investigator and the investigators spouse and dependent children, meets both of the following tests: does not exceed \$5,000 in value as determined through reference to public prices or other reasonable measures of fair market value, and does not represent or represent more than a 5% ownership interest in any single entity; and
5. Salary, royalties or other payments that, when aggregated for the investigator and the investigators spouse and dependent children, are not expected to exceed \$5,000 over the subsequent twelve month period.

However, the term Significant Financial Interest does include the following (42 CFR 50.603):

1. Payments in excess of \$5,000 including salary, consulting fees, royalty or licensing payments from intellectual property, honoraria and/or gifts received within the past 12 months or anticipated for the next 12 months.
2. Equity interest worth more than \$5,000 or more than 5% of the business entity as determined by reference to its publicly listed price (excluding mutual funds);
3. Any equity interest if the value cannot be determined by reference to publicly listed prices (e.g., start up companies);
4. Patent rights or royalties from such rights whose value may be affected by the outcome of the research, including royalties under any royalty-sharing agreement involving a business entity.