

## Attachment B:

### General declaration form (OP 70.37B- Confidential General Disclosure of Either Significant or No Significant Business or Financial Interests in Any External Entity)

This form is to be used to disclose significant business or financial interests as required by OP 70.37.

Faculty/Staff Name \_\_\_\_\_ "\*\*\*\*\*" gct \_\_\_\_\_ Retroactive

Department/Unit \_\_\_\_\_ Rank \_\_\_\_\_

College/Unit \_\_\_\_\_

I and my family members, defined as a spouse and dependent relatives or household members:

\_\_\_ will \_\_\_ will not receive salary, royalties or other payments for services (e.g., consulting fees or honoraria) in excess of \$10,000 from an external entity that would reasonably appear to be affected by the research or educational activities funded, or proposed for funding, by an external sponsor;

\_\_\_ do \_\_\_ do not hold an equity interest in excess of \$10,000 in value in an external entity that would reasonably appear to be affected by the research or educational activities funded, or proposed for funding, by an external sponsor;

\_\_\_ do \_\_\_ do not hold an equity interest that represents more than a 5 percent ownership interest in an external entity that would reasonably appear to be affected by the research or educational activities funded, or proposed for funding, by an external sponsor;

\_\_\_ do \_\_\_ do not serve as a member of the governing board in the capacity of a director, advisory director, trustee, or otherwise in an external entity.

\_\_\_ do \_\_\_ do not have other significant business or financial interests that possibly could affect, or be perceived to affect, the results of the research or educational activities performed by me as a part of a sponsored project.

\_\_\_ do \_\_\_ do not have other significant business or financial interests that possibly could affect, or be perceived to affect, or have the appearance of affecting the results of the research or educational activities performed by me as a member of Texas Tech University.

**I agree to update this request and disclosure 1) on an annual basis and 2) at any time there is a change in the information reported.**

Signature (Original signature only; a "per" signature is not acceptable.)

Date

**If only negative statements are checked above, no further information is required.**

**If any positive statement is checked, complete a "Confidential Supplemental Disclosure" form for each Entity disclosed and attach to this form.**

**Please add your electronic signature and e-mail the form to [researchintegrity@ttu.edu](mailto:researchintegrity@ttu.edu) or sign it and mark the envelope as CONFIDENTIAL and mail it to Training Administrator, Office of Research Integrity, OVPR, MS 1075, 103 Holden Hall, Campus**

## Attachment C:

### Detailed disclosure form (Confidential Supplemental Detailed Disclosure of Significant Business or Financial Interest)

This form must be completed for **each entity** that you have disclosed on page 1 that would reasonably appear to be affected by any sponsored project in which you are involved and in or from which you, your spouse and dependent relatives or household members receive in excess of \$10,000 in income, hold equity interest in excess of \$10,000 in value, or hold a 5 percent ownership interest.

**Name and address of entity:** \_\_\_\_\_

**Annual income from this entity:** \_\_\_\_\_

**Basis for income to you or a member of your family (check all that apply):**

<input type="checkbox"/> Participation as an employee	<input type="checkbox"/> Gift	<input type="checkbox"/> Dividends
<input type="checkbox"/> Consulting	<input type="checkbox"/> Income related to royalties on patents and copyrights	
<input type="checkbox"/> Lecturing	<input type="checkbox"/> Service on Advisory or Directors' Board	

**The value of ownership interest in external entity is:** \_\_\_\_\_

**Nature of ownership:** ☐ Equity Interest ☐ Partnership ☐ Other (explain) \_\_\_\_\_

**Percentage of ownership:** \_\_\_\_\_

**Answer each of the following questions. If form is to be printed, please answer any question needing more than a 2 line answer on additional page(s) as needed.**

1. If you, your spouse, dependent relative, or household member has received a consulting fee, describe the nature of the consulting activities.
2. Indicate how your activities with the entity relate to proposed or sponsored projects on which you serve as principal investigator, co-investigator, or senior personnel.
3. Explain how you are keeping your interests and obligations to the entity separate from your Texas Tech University activities and responsibilities.
4. Explain all arrangements with your chair and dean/director about use of Texas Tech University space and resources.
5. Explain the role(s) of any other Texas Tech University faculty, staff, undergraduate students, graduate students, and postdoctoral trainees in the entity. For the latter three groups, explain how their work with the entity is kept separate from their academic work and whether you serve as their advisor.
6. If you are receiving income from royalties on patents and copyrights, explain the circumstances that resulted in this income.

#### Signature of Individual Providing Disclosure

In my judgment, this disclosure of significant business or financial interest ☐ does ☐ does not constitute a conflict of interest.

Signed: \_\_\_\_\_

Date: \_\_\_\_\_

(Original signature only; a "per" signature is not acceptable. Once Providing Individual signs form, no changes can be made.)

**Endorsements by individuals who are required to keep the information confidential.**

**Determination of the Research Integrity Officer (RIO):**

I have reviewed the significant business or financial interest disclosure and in my judgment:

\_\_\_\_\_ No conflicts exist.

\_\_\_\_\_ Conflicts of interest exist or may exist and in my judgment I believe that it will be possible to develop and execute an Memorandum of Understanding to manage, reduce, or eliminate any actual or potential conflict of interest.\*

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**Determination of the Vice President for Research:**

I have reviewed the significant business or financial interest disclosure and in my judgment:

\_\_\_\_\_ No conflicts exist.

\_\_\_\_\_ Conflicts of interest exist or may exist and in my judgment I believe that it will be possible to develop and execute an Memoradnum of Understanding to manage, reduce, or eliminate any actual or potential conflict of interest.\*

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\* A resolution plan will be developed. See OP 70.37.

**Please add your electronic signature and e-mail the form to [researchintegrity@ttu.edu](mailto:researchintegrity@ttu.edu) or sign it and mark the envelope as**

**CONFIDENTIAL and mail it to Training Administrator, Office of Research Integrity, OVPR, MS 1075, 103 Holden Hall, Campus**

**Attachment D:**  
**PHS-Specific Confidential General Disclosure Form**  
**(OP 70.37D PHS-Specific Confidential General Disclosure of Either Significant or No Significant Business or Financial Interests in Any External Entity)**

This form is to be used to disclose significant business or financial interests that reasonably appear to be related to the Investigator's institutional responsibilities as required by OP 70.37, Subpart B.

**FY2013 consists of 09/01/2012 - 08/31/2013**

**Faculty/Staff Name** \_\_\_\_\_ **Fiscal Year** \_\_\_\_\_ ☐ **Retroactive**  
**Department/Unit** \_\_\_\_\_ **Rank** \_\_\_\_\_  
**College/Unit** \_\_\_\_\_

**I and my family members, defined as a spouse and dependent relatives or household members, as it reasonably appears to be related to my institutional responsibilities,:**

- |                          |                          |                                                                                                                                                                                                                                                                                                                                                                              |
|--------------------------|--------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | receive remuneration in excess of \$5,000, or its value, from a publicly-traded entity (a company whose stock is available for purchase by the general public) during the past 12 months. 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). |
| did                      | did not                  |                                                                                                                                                                                                                                                                                                                                                                              |
| <input type="checkbox"/> | <input type="checkbox"/> | hold an equity interest valued in excess of \$5,000 in a publicly-traded entity at the time of disclosure.                                                                                                                                                                                                                                                                   |
| did                      | did not                  |                                                                                                                                                                                                                                                                                                                                                                              |
| <input type="checkbox"/> | <input type="checkbox"/> | receive an aggregate of the above two items (remuneration and equity interest) that exceeds \$5,000 in value.                                                                                                                                                                                                                                                                |
| did                      | did not                  |                                                                                                                                                                                                                                                                                                                                                                              |
| <input type="checkbox"/> | <input type="checkbox"/> | receive any amount of equity (stock, stock options, or other ownership interest) in a non-publicly traded entity (such as a start-up company).                                                                                                                                                                                                                               |
| did                      | did not                  |                                                                                                                                                                                                                                                                                                                                                                              |
| <input type="checkbox"/> | <input type="checkbox"/> | receive compensation that exceeds \$5,000 from a non-publicly traded entity in the past 12 months.                                                                                                                                                                                                                                                                           |
| did                      | did not                  |                                                                                                                                                                                                                                                                                                                                                                              |
| <input type="checkbox"/> | <input type="checkbox"/> | receive income related to intellectual property rights paid by any source other than Texas Tech University, or, if I am a subrecipient, my current institution.                                                                                                                                                                                                              |
| did                      | did not                  |                                                                                                                                                                                                                                                                                                                                                                              |
| <input type="checkbox"/> | <input type="checkbox"/> | receive any reimbursed or sponsored travel paid by an entity, including non-profit organizations, but excluding the following: government agencies, U.S. institutions of higher education and related research institutes, medical centers, and academic teaching hospitals.                                                                                                 |
| did                      | did not                  |                                                                                                                                                                                                                                                                                                                                                                              |
| <input type="checkbox"/> | <input type="checkbox"/> | hold an equity interest that represents more than 5 percent ownership in an external entity that would reasonably appear to be affected by the research or educational activities funded, or proposed for funding, by an external sponsor.                                                                                                                                   |
| do                       | do not                   |                                                                                                                                                                                                                                                                                                                                                                              |
| <input type="checkbox"/> | <input type="checkbox"/> | serve as a member of an external entity's governing board in the capacity of a director, advisory director, trustee, or similar governance office.                                                                                                                                                                                                                           |
| do                       | do not                   |                                                                                                                                                                                                                                                                                                                                                                              |
| <input type="checkbox"/> | <input type="checkbox"/> | have other significant business or financial interests that possibly could affect, or be perceived to affect, the results of the research or educational activities performed by me as a part of a sponsored project.                                                                                                                                                        |
| do                       | do not                   |                                                                                                                                                                                                                                                                                                                                                                              |
| <input type="checkbox"/> | <input type="checkbox"/> | have other significant business or financial interests that possibly could affect, be perceived to affect, or have the appearance of affecting the results of the research or educational activities performed by me as a member of Texas Tech University.                                                                                                                   |
| do                       | do not                   |                                                                                                                                                                                                                                                                                                                                                                              |

**I agree to update this request and disclosure on an annual basis AND at any time there is a change in the information reported.**

\_\_\_\_\_  
 Signature of Investigator (Original signature only; a "per" signature is not acceptable.)

\_\_\_\_\_  
 Date

\_\_\_\_\_  
 Signature of AVPR (Original signature only; a "per" signature is not acceptable.)

\_\_\_\_\_  
 Date

**If only negative statements are checked above, no further information is required.**

**If any positive statement is checked, complete an "Attachment E: PHS-Specific Detailed Disclosure Form" to identify each entity and the relationship(s) disclosed above, and attach to this form.**

**Please add your electronic signature and e-mail the form to [researchintegrity@ttu.edu](mailto:researchintegrity@ttu.edu). Or sign the form, mark the envelope as CONFIDENTIAL, and mail the form to Administrator for Financial Disclosure, Office of Research Integrity, OVPR, MS 1075, 103 Holden Hall, Campus**

**Attachment E:**

**PHS-Specific Detailed Disclosure Form**

**(OP 70.37E - PHS-Specific Confidential Supplemental Detailed Disclosure of Significant Business or Financial Interest)**

This form must be completed for each entity related to positive disclosure statements on Attachment D that would reasonably appear to be affected by your institutional responsibilities.

Name and address of entity:

Fiscal Year: \_\_\_\_\_

Retroactive ☐

Check one:

☐

Publicly traded

☐

Non - publicly traded

Income from this entity: \_\_\_\_\_

Equity interest from this entity: \_\_\_\_\_

Basis for business or financial interest to you or your family members, defined as a spouse and dependent relatives or household members (check all that apply):

☐

Participating as an Employee

☐

Gift

☐

Ownership

☐

Consulting

☐

Travel

☐

Other

☐

Lecturing

☐

Income related to royalties on patents and copyrights

☐

Equity Interest/Dividends

☐

Service on Advisory or Directors' Board

The value of ownership interest in external entity is: \_\_\_\_\_

Nature of ownership:

☐

Equity Interest

☐

Partnership

☐

Sole Proprietorship

☐

Other (Explain)

Percentage of ownership: \_\_\_\_\_

Answer each of the following questions. Use additional pages as needed.

1. If you, your spouse, dependent relative, or household member has received a consulting fee, describe the nature of the consulting activities.

2. Indicate how your activities with the entity relate to proposed or sponsored projects on which you serve as investigator or key personnel.

3. Explain how you are keeping your interests and obligations to the entity separate from your Texas Tech University activities and responsibilities.

4. Explain all arrangements that have been made with your chair and dean/director about the use of Texas Tech University space and resources.

5. Explain the role(s) that any other Texas Tech University faculty, staff, undergraduate students, graduate students, and post doctoral trainees perform for this entity. For the latter three groups, explain how their work with the entity is kept separate from their academic work and whether you serve as their advisor.

6. If you are receiving income from royalties on patents and copyrights, explain the circumstances that generated this income.

7. Explain any reimbursed or sponsored travel paid by this entity.

Purpose of the trip:

Destination:

Duration:

**Signature of Individual Providing Disclosure**

In my judgment, this disclosure of significant business or financial interest \_\_\_\_ does \_\_\_\_ does not constitute a conflict of interest.

Signed: \_\_\_\_\_

Date: \_\_\_\_\_

(Original signature only; a "per" signature is not acceptable. Once Providing Individual signs form, no changes can be made.)

**Endorsements by individuals who are required to keep the information confidential.**

**Determination of the Vice President for Research for Research Integrity:**

I have reviewed the significant business or financial interest disclosure and in my judgment:

- ☐ No conflict exists.
- ☐ Conflicts of Interest exist or may exist, and in my judgment, I believe that it will be possible to develop and execute a Memorandum of Understanding to manage, reduce, or eliminate any actual or potential conflict of interest. \*
- ☐ Conflicts of Interest exist or may exist, and in my judgment, I believe that it is not possible to manage the conflict of interest.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**Determination of the Senior Vice President for Research:**

I have reviewed the significant business or financial interest disclosure and in my judgment:

- ☐ No conflict exists.
- ☐ Conflicts of Interest exist or may exist, and in my judgment, I believe that it will be possible to develop and execute a Memorandum of Understanding to manage, reduce, or eliminate any actual or potential conflict of interest. \*
- ☐ Conflicts of Interest exist or may exist, and in my judgment, I believe that it is not possible to manage the conflict of interest.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\*A resolution plan will be developed. See OP 70.37.