New NIH requirements for Significant Financial Conflict of Interest

Revisions to the existing Responsibility of Applicants for Promoting Objectivity in Research for which Public Health Service Funding is Sought and Responsible Prospective Contractors: Title 42, Code of Federal Regulations, Part 50, Subpart F can be found at: http://www.gpo.gov/fdsys/pkg/FR-2011-08-25/pdf/2011-21633.pdf

NIH Tutorial on Financial Conflict of Interest

NIH has developed a tutorial to further clarify the revisions to financial conflict of interest for grants and cooperative agreements.

The tutorial is located here: http://grants.nih.gov/grants/policy/coi/tutorial2011/fcoi.htm

NIH's Office of Extramural Research policy is located here: http://grants.nih.gov/grants/policy/coi/index.htm along with their FAQs: http://grants.nih.gov/grants/policy/coi/coi_faqs.htm

Financial conflict of interest **(FCOI)** means a significant financial interest that could directly and significantly affect the design, conduct, or reporting of PHS-funded research.

Significant financial interest **means:**

(1) 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.

(2) Investigators also must disclose the occurrence of 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 their institutional responsibilities; provided, however, that this disclosure requirement does not apply to travel that is reimbursed or sponsored by a Federal, state, or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education. The Institution's FCOI policy will specify the details of this disclosure, which will include, at a minimum, the purpose of the trip, the identity of the sponsor/organizer, the destination, and the duration. In accordance with the Institution's FCOI policy, the institutional official(s) will determine if further information is needed, including a determination or disclosure of monetary value, in order to determine whether the travel constitutes an FCOI with the PHS-funded research.

MONTEREY BAY AQUARIUM RESEARCH INSTITUTE

Conflict of Interest Statement related to Government PHS Sponsored Projects

Investigators who have responsibility for the design, conduct and reporting of a research project at MBARI must abide requirements regarding Financial Conflict of Interest, in accordance with PHS Policy, (Code of Federal Regulations Tile 42, Chapter I Part 50) This also includes 2011 amendments to Title 42 Code of Federal Regulations (CFR) Part 50 Subpart F for grants or cooperative agreements and Title 45 CFR Part 94 for research contracts.

New Proposal Title:

Development of Propeller Driven Long Range Autonomous Underwater Vehicle (LRAUV) for under-ice mapping of oil spills and environmental hazards project

Disclosure and Certification:

Do you, your spouse or registered domestic partner, or dependant children have a significant financial interest related to NIH or the work to be conducted under the proposed project that was received in the last 12 months or that you expect to receive in the next 12 months?

NO X YES___

Are there other (non-MBARI) individuals who will be responsible, with the Investigator for the design, conduct or reporting of the proposed activities (e.g. subcontractors with significant responsibilities)?

NO X YES___

If YES, MBARI must be assured that the home institution has policies which comply with the funding agency's regulations. Such written assurance should be provided along with the necessary letter of commitment.

Signatures below indicate certification that either no significant financial interest exists or that a positive response to significant financial interest is disclosed in the MBARI Annual Conflict of Interest Certification and Disclosure Form which is housed in MBARI's HR department.

Signature: Brett Hobson **Date:** 03/02/2021

PI (Please print): Brett Hobson