

KEY TERMS

1. Entity – means
 - a. any corporation, business, partnership, sole proprietorship, firm, franchise, association, organization, holding company, limited liability company, joint stock company, receivership, trust, or any other for profit commercial operation, but excluding UNTHSC. An Entity also includes organizations where UNTHSC may participate on the Entity’s board of directors or hold stock in the Entity;
 - b. any not-for-profit organization acting, directly or indirectly, as an agent for, a commercial organization; or
 - c. any other legal concern organized for profit or charitable purposes.
2. Conflict Management Plan – means a formal document approved by the RCOI Committee that directs the Investigator’s management of Financial Conflicts of Interest or other potential conflicts of interest.
3. Financial Conflict of Interest – means a Significant Financial Interest that could directly and significantly affect the design, conduct, or reporting of Research.
4. Institutional Responsibilities – means an Investigator’s professional responsibilities on behalf of UNTHSC, which may include activities such as Research, consulting, teaching, professional practice, institutional committee memberships, and service on panels such as data and safety monitoring boards.
5. Investigator - means a UNTHSC principal investigator, faculty member, or 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 an external sponsor. This may include Research assistants, project directors, lab personnel, collaborators or consultants.
6. Relative – means an Investigator’s spouse, dependent children, and other family members living in the same household, together with all individuals related within the second degree of affinity or third degree of consanguinity.
7. Research - means a systematic investigation, study or experiment designed to develop or contribute to generalizable knowledge relating broadly to public health, including behavioral and social sciences research. The term encompasses basic, applied and clinical research, as well as product development. The term includes any such activity for which research funding is available or proposed from an external sponsor.
8. Significant Financial Interest – means any financial interests of an Investigator, the Investigator’s spouse, or the Investigator’s dependent children that appear to be related to the Investigator’s Research or Institutional Responsibilities,

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including:

- a. salary or other income, whether for consulting, paid authorship, lecturing, , honoraria, service on an advisory board or for any other purpose paid by an Entity, when aggregated, exceeds \$5,000 in the twelve months preceding disclosure; or
- b. any remuneration received from a publicly traded Entity in the twelve months preceding disclosure and the value of any equity interest in the Entity as of the date of disclosure, when aggregated, exceeds \$5,000. Equity interest includes any stock, stock option, or other ownership interest; or
- c. any remuneration received from a non-publicly traded Entity in the twelve months preceding disclosure that in aggregate exceeds \$5,000, or any equity interest held by the Investigator in such Entity, regardless of amount; or
- d. any intellectual property rights and interests (patents, copyrights, trademarks) and income related to such rights and interests; or
- e. service as an officer, manager, executive, member of a board of directors, or in any other fiduciary or managerial role for an Entity, whether or not remunerated; or
- f. for Investigators who have applied for or are receiving PHS funding, any occurrence of reimbursed or sponsored travel not reimbursed or sponsored by:
 - i. a federal, state, or local government agency,
 - ii. an Institution of higher education as defined at 20 U.S.C. 1001(a),
 - iii. an academic teaching hospital,
 - iv. a medical center, or
 - v. a research institute that is affiliated with an Institution of higher education.

A Significant Financial Interest does not include:

- a. salary, or other remuneration paid by UNTHSC to the Investigator if the Investigator is currently employed or otherwise appointed by the UNTHSC;
- b. income from investment vehicles, such as mutual funds and retirement accounts, as long as the Investigator does not directly control the investment decisions;
- c. income from seminars, lectures, or teaching engagements sponsored by a federal, state, or local government agency, an institution of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education; and
- d. income from service on advisory committees or review panels for a federal, state, or local government agency, an institution of higher education, an academic teaching hospital, a medical center, or a research institute that is

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affiliated with an institution of higher education.

- e. Reimbursed or sponsored travel for researchers having no PHS-funding involvement.