

CLARK ATLANTA UNIVERSITY

Policy 2.2-Conflict of Interest and Commitment



CLARK ATLANTA UNIVERSITY		
POLICY/PROCEDURE	Subject: Conflict of Interest & Commitment	
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1.0 Policy Statement

Each Clark Atlanta University (CAU/University) employee is responsible for managing his or her financial affairs and relationships in a manner that does not interfere with, or improperly influence the performance of, his or her duties and responsibilities as an employee. CAU acknowledges that employees, and their families and dependents, have the right to acquire, retain and accumulate personal financial assets (including personal income from the transfer of technology or intellectual property subject to CAU policy) and to establish financial relationships with outside private entities

CAU will exercise oversight and care in eliminating or managing Financial Conflicts of Interest that do or may arise because of an employee's financial interest in CAU activities. CAU will not accept or enter into agreements, contracts, gifts or purchases that give rise to a Financial Conflict of Interest unless the conflict can be eliminated or appropriately managed through administrative oversight to protect the interests of the University.

CAU will comply with all reporting responsibilities imposed by State or federal laws or regulations with respect to financial interests that have been disclosed while protecting the personal privacy of employees, except where disclosure is required by applicable law or this policy. If a federal agency sponsor requires notification of the existence of a Financial Conflict of Interest, of the existence of a Financial Conflict of Interest that is being managed, or of the existence of a Financial Conflict of Interest that cannot or should not be managed that is associated with a project proposed to that agency by CAU, then CAU will comply with this reporting requirement, but will maintain the specific fiscal details of the subject Financial Conflict of Interest as confidential information to the extent allowed by laws or regulations.

1.1 Employee's Commitment

Faculty of Clark Atlanta University (CAU/University) will commit to the basic values of openness, academic and scholarly integrity, integrity of business policy and procedure, independence, and safe and ethical research, as well as to its tradition and expectation that employees will conduct their relationships with the University with candor and integrity.

Staff/Administrative employees who hold full-time appointments are expected to devote their full-time professional loyalty, time and energy to their CAU position. Outside employment is permitted as long as the nature of the employment is not in direct competition or conflict with CAU's mission or the mission of the employee's department. Furthermore, the time and effort required by the outside employment must not in any way restrict or prevent the employee from performing his/her CAU duties and responsibilities.

This policy seeks to protect the CAU faculty and staff so that the public trust and confidence are ensured.

2.0 Procedure Narratives

The procedures support this policy by setting forth guiding principles for identifying and mitigating or eliminating potential conflicts of interest and commitments, and for reviewing and addressing perceived conflicts as they occur. The procedures presented in the Addendum also support the policy that allows CAU to maintain eligibility for federal funding from the Public

Health Service (PHS), National Institutes of Health (NIH), U.S. Department of Health and Human Services (HHS), and the National Science Foundation (NSF) and, in the case of research involving human subjects, funding from any federal agency that is a signatory to the Common Rule (Title 45 CFR 46) when researchers have Significant Financial Interests in research involving human subjects.

CAU, its employees, its governing structure and all constituent groups are committed to conducting themselves and their activities in accordance with the highest standards of integrity and in compliance with, including but not limited to, state and federal regulations and CAU policy governing ethics and conflicts of interest. CAU's responsibilities in this area include the identification of all potential conflicts of interest and the assurance that they do not negatively affect CAU's participation in research projects, achievement of education goals, community standing and involvement in public service activities.

2.1 Conflict of Interest Guidelines

A potential conflict of interest occurs when there is a divergence between the individual's private interests and his or her professional obligations to CAU such that an independent observer might reasonably question whether the individual's professional actions or decisions are determined by considerations of personal gain, financial or otherwise. An actual conflict of interest depends on the situation and not on the character or actions of the individual. In federally sponsored research, actual conflicts of interest are prohibited by federal law.

Conflicts of Interest can arise under many situations. The following are guidelines that members of the CAU community must follow. Disclosure and approval are required before engaging in activities that are inconsistent with these guidelines.

- A. CAU Administration: Members of CAU community with staff/administrative responsibilities must avoid relationships in which personal interests, including financial interests, overlap with CAU's interests.
- B. Business Relationships: When members of CAU community or their family members have financial interests in a business or are involved in a business as an owner, operator, or as an executive officer, they must be alert to the possibility that a conflict of interest may arise, if the business has a relationship with CAU. This does not apply to the adoption of textbooks, software or other teaching aids written by faculty members or their family members for use in their own course of instruction.
- C. Gifts: CAU prohibits all employees from accepting any personal gift or gratuity with a value in excess of \$99, from outside organizations, corporations, companies, partnerships or other entities that provide or are seeking to provide goods or services to CAU.
 - Employees may not accept business entertainment, such as invitations to dinner, sporting events, theater presentations, etc., that is valued in excess of \$99 without disclosing it. Employees must consult with and report to their supervisor all gifts, gratuities and entertainment valued at more than \$99. Gifts that are sent directly to an employee must be

reported to their supervisor. Promotional gifts of nominal value such as pens, calendars and scratch pads do not need to be reported.

- It is possible that a gift in excess of \$99 is acceptable; however, a gift receipt must be documented and submitted to the Compliance Office.
- Employees of the Purchasing Office must adhere to the University's Purchasing Policy and Procedures on ethical conduct related to the receipt of gifts, which is contained on CAU Web site.

(<http://www.cau.edu/CMFiles/Docs/PurchasingPolicy.pdf>)

- D. Use and Appropriation of CAU Assets: Where specific procedures regarding the disposition and control of CAU assets do not exist, individuals are expected to protect the best interests of CAU in its tangible and intangible assets. Conduct constituting the misappropriation or unauthorized use of CAU assets in connection with any external activity is prohibited.
- E. Research Activities: Financial Conflicts of interest in sponsored research involves situations in which financial, professional, or other personal considerations may compromise, or have the appearance of compromising an individual's judgment in the conduct or reporting of sponsored research. Individual members of CAU community may not review, approve or administratively control contracts, grants or other business relationships when such contract, grant or other business relationship pertains to sponsored research involving CAU and the business in which the individual or a family member has a significant financial interest or when the individual or a family member is an employee of the business and directly involved with activities pertaining to the sponsored research.
- Research activities involving PHS projects, specifically related to HHS, NIH, and NSF projects, are addressed in the attached Addendum to adhere to Federal regulation and to ensure the integrity of University activities, including review and conduct of research involving human subjects, and the associated fiscal, contractual and procurement transactions.
- F. Activities Related to Students: An individual member of CAU community may not assign students, postdoctoral fellows or other trainees to CAU projects sponsored by any business if the individual or a family member has a significant financial interest in the business. An individual also may not assign students or permit students to participate in any consulting relationship in which the individual or a family member has a significant financial interest.
- G. Deans and department chairs have the responsibility for protecting the interests of students, fellows and trainees who may be directly or indirectly involved in a conflict of interest situation.
- H. Activities Related to Family Members: Members of CAU community shall not participate in the hiring process or any employment-related decisions pertaining to

their family members. Likewise, they may not be in a position to supervise a family member as an employee of CAU or otherwise review or participate in reviewing a family member's work as an employee of CAU.

- I. Some departments such as Public Safety may require employees to obtain preapproval by the Director or Unit Head before beginning outside employment. In no case is a full-time or part-time staff/administrative employee permitted to perform duties for another employer (including self-employment) during his/her normal working hours at CAU.

2.2 Conflict of Commitment Guidelines

With the acceptance of a full-time appointment to CAU, an individual makes a commitment to CAU that is understood to be full-time in the most inclusive sense. Each member of the faculty shall advise the department chair and dean of any activities in which he/she engages which will or may result in rendering less than full-time service to CAU. External opportunities will not be allowed to interfere with the responsibilities of the faculty member to the department or major academic unit. The chair of each major academic unit, after consultation with the dean and Provost/Vice President for Academic Affairs, shall approve such outside employment and commitments by the faculty member and report this approval to the dean and Provost. Furthermore, the name of CAU may not be used for propaganda purposes or for personal gain.

2.3. Potentially Non-allowable Activities

The following is a partial list of activities or actions that merit case-by-case examination to determine whether they create a material conflict of interest/commitment that should either be managed or eliminated.

- A. Failing of the faculty member or staff member to fulfill CAU responsibilities (e.g., holding classes, advising students, conducting research, serving on departmental or CAU committees, supervising students in a research lab, fulfilling job requirements) due to involvement in external activities;
- B. Accepting gratuities or special favors from companies doing business or sponsoring one's research at CAU or related entities;
- C. Performing evaluative research for a company in which the investigator has a financial interest (see Addendum for additional information);
- D. Accepting a paid consultancy with a company having an interest in the research being conducted (see Addendum for additional information);
- E. Using students to perform services for a company in which a researcher has a financial interest;
- F. Providing privileged access to information developed with CAU or independent sponsorship to another entity in which the faculty or staff member has a financial or political interest;
- G. Negotiating on behalf of CAU for the purchase of materials from a company in which the faculty or staff member has a financial interest;
- H. Influencing the negotiation of contracts, including research contracts or licensing contracts, between CAU and a company in which a faculty or staff member has a financial interest;

- I. Accepting gifts from a student, especially when the recipient of the gifts is responsible for evaluating the student.

2.4.0 Allowable Activities

The following examples are not considered conflicts of interest and are exempt from reporting requirements, unless they are so extensive in time and effort that they constitute a conflict of commitment.

- A. Receiving royalties, honoraria, stipends or other remuneration from CAU;
- B. Earning income from seminars, lectures or teaching engagements sponsored by public or nonprofit entities;
- C. Receiving income from service on advisory committees or review panels for public or nonprofit entities;
- D. Faculty members may hold office or membership on a board or committee of an entity supporting their CAU research as long as they disclose this activity;
- E. Holding financial interests in business enterprises or entities if the value of such interests in the 12- month period ending September 30th does not exceed \$5,000 in equity interest, or does not represent five (5) percent or more ownership interest in any one enterprise or entity when aggregated for the employee and/or family member;
- F. Assigning as the required text for a course a book for which the faculty receives royalties with the Dean's approval.

2.5.0 Conflict of Interest Examples

The following are examples of actual conflicts of interest that are inconsistent with CAU policy and may not be undertaken:

- A. A researcher uses his laboratory at CAU to do product-testing research, paid for by a company in which the researcher is a 20% owner, which seeks to validate advertising claims made about a product sold by that company;
- B. An employee directs the purchase of supplies for CAU toward a business in which he knows that he or his immediate family has a significant financial interest.
- C. An employee managing a design and construction project participates in the selection of an architectural firm in which his/her spouse is an employee.
- D. A faculty member acts as the thesis or dissertation advisor to a graduate student for a research project, suggested by the faculty member, that the faculty member expects to substantially enhance the value of a company in which the faculty member has a significant financial interest.

2.6.0 Guiding Principles for Conflict of Interest/Commitment

- A. Outside activities should not interfere with performance of the primary responsibilities expected of full-time faculty or staff;
- B. Management or consulting roles in an outside private business generally are not acceptable in cases that require the faculty member to assume major responsibilities, such as day-to-day oversight of the company;
- C. Faculty and researchers must make CAU obligations known to external entities with whom business is contracted and provide them with relevant CAU policies

- governing inventions and discoveries;
- D. Preferential access to research results, materials or products generated from CAU teaching or research activities may not be provided to an outside entity for the personal financial gain of a faculty member/researcher, except in cases in which appropriate licensing arrangements have been developed and approved according to CAU policies;
 - E. Selection of students for participation in a research project should not be inappropriately influenced by the interests of a sponsoring company, including a company in which the supervising professor may have a significant financial interest.

2.7.0 Disclosure Requirements

In order to identify and review conflicts of interest, including financial conflict of interest, and the appearance of conflicts of interest, all members of CAU community must disclose annually by October 31st to the appropriate CAU officials on the Conflict of Interest Disclosure Form CAU/COI-1 (Appendix A) all outside activities and financial interest that create or have the appearance of creating conflicts of interest. Appropriate CAU officials include the Provost/Vice President for Academic Affairs and all other cabinet level senior managers. All potential Conflicts of Interest that arise after October 31st must be disclosed at the time they are identified.

A. Disclosure Procedures of Employee's Financial Interests

(The Procurement of Goods or Services, Contracts, Investments and/or Loans)

1. Annually, the Chief Compliance Officer will remind all employees of the obligation to disclose any and all Financial Interests held by the Employee and/or their dependents in University purchases or procurement of goods or services, contracts, investments and/or loans. The reminder notice will also:
 - a) Describe the necessity of updating financial disclosures or submitting new financial disclosures during the year if new or altered Financial Interests develop.
 - b) Remind Employees that a disclosure related to a Financial Interest in any University purchase or procurement of goods or services, or in any investment or loan made by the University, must be made as far in advance of the purchase, procurement, investment or loan as possible to provide sufficient time for the Chief Compliance Officer to obtain approval of the disclosure before final action is taken on the purchase, contract, investment or loan, as required by state law.
2. The Chief Compliance Officer, in consultation with University Human Resources Department and other CAU senior officials, develops a process whereby each new employee either (i) completes a Conflict of Interest Disclosure Form for each of his or her then existing and known Financial Interests in accordance with this policy or (ii) certifies that he or she has no known Financial Interests to disclose at that time.
3. Employees who have a known financial interest, held either by themselves or by their dependents, in any University purchase or procurement of goods or services, or in any investment or loan by the University, whether the financial interest is held directly or

through an interest in a vendor or other entity that may benefit financially from a University purchase or procurement, must disclose the financial interest on a Conflict of Interest Disclosure form in advance of the purchase or procurement.

4. The Conflict of Interest Disclosure Form will be forwarded to the Chief Compliance Officer or his or her designee from the particular Vice President or senior manager having direct management responsibility over the employee completing the Conflict of Interest form. The Chief Compliance officer will first determine if the financial disclosure is necessary under this policy. Disclosures found to be unnecessary will be returned to the employee, noting it as such. When necessary, the disclosure will be reviewed by the Chief Compliance Office for completeness and clarity. When judged to be complete, the Chief Compliance Officer will determine if the disclosure is new or a renewal of a previous disclosure.
5. New disclosures will be reviewed to determine whether there is a Conflict of Interest, including Financial. If no Conflict of Interest, including Financial, is identified, the Chief Compliance Officer will forward all necessary documentation to the responsible officer for review and approval. Each identified Financial Conflict of Interest will be determined manageable or not by the University.
 - a) If the Financial Conflict of Interest is judged to be unmanageable or inappropriate to manage, steps will be taken to mitigate or eliminate the Conflict of Interest, which may include blocking execution of the University transaction that is the subject of the Financial Interest or changing the employee's role and/or responsibilities. If, after the Conflict of Interest has been eliminated, it is still possible and desirable to complete the University transaction, the Chief Compliance Officer will forward all necessary documentation to the University President for review and approval.
 - b) If the Conflict of Interest, including Financial, is judged to be manageable, a written conflict management plan (corrective actions plan) will be developed with the Employee and the appropriate oversight manager(s). Once a management plan has been established and accepted, the Chief Compliance Officer will forward all necessary documentation to the appropriate responsible senior official for review and approval.
6. Renewal disclosures will be reviewed by the Chief Compliance Officer to determine if elements of the disclosure or associated University transaction have changed such that the original disposition of the disclosure should be reconsidered.
 - a) If there is no significant change, the Chief Compliance Officer will forward all necessary documentation to the responsible CAU senior official for review and approval.
 - b) If a significant change is identified, the disclosed Financial Interest will be re-reviewed as a new disclosure.

2.8.0 Conflict of Interest Review and Mitigation Process

As presented in Section 2.7 of this policy, employees will submit Conflict of Interest Disclosure forms to the Responsible University Official (Provost/Vice President for Academic Affairs for faculty members, and the respective Vice President(s) or Senior Level Manager for staff/administrative employees). The annual forms must be submitted no later than October 31st of each academic year.

If the Vice President for Academic Affairs, other CAU Vice Presidents or Senior Level Manager determines there is an appearance of a conflict of interest, he/she must contact the Chief Compliance Officer (CCO) and submit the disclosure form to that office. The CCO will contact the General Counsel for advice and counsel regarding the potential conflict. If the CCO and General Counsel determine there is a potential conflict of interest, the Chief Compliance Officer will communicate that determination to the respective Vice President or senior manager. The Compliance Office will provide the affective senior manager with summaries, reports, and other pertinent information, as warranted.

2.9.0 Enforcement and Penalties

The affective Vice President or Senior Manager is responsible for overseeing the implementation and enforcement of this policy. The affected Vice President will review all violations of this policy, but not limited to: including (a) failure to comply with the disclosure process (by refusal to respond, by deliberately responding with incomplete, inaccurate or misleading information); (b) failure to remedy conflicts of interest; and (c) failure to comply with a prescribed monitoring plan.

Possible penalties include, but are not limited to, reimbursement to CAU for misused resources; formal admonition; inclusion in an employee's file of a letter of reprimand or warning from the appropriate CAU administrator; ineligibility of a faculty member for a grant application, Institutional Review Board approval, or supervision of graduate students; nonrenewal of appointment; and dismissal from employment consistent with CAU Staff and Faculty Handbooks.

Any member of CAU community, including students, may report an incidence of suspected conflict of interest to the Compliance Hotline at 404-589-8006 or their department head or supervisor. CAU will protect anyone who reports a violation from retaliation.

2.10 Retention of Conflict of Interest Records

CAU is required to keep all Conflict of Interest records for grants and cooperative agreements for at least three years from the date of submission of the final expenditures report or, where applicable, from other dates specified in 45 C.F.R. 74.53 (b) for different situations. For research contracts CAU is required to keep records for three years after final payment or where applicable, for the other time periods specified in 48 CFR part 4, subpart 4.7.

3.0 Entities Affected By This Policy

All employees, investigators, sub-recipients, subcontractors, and Board of Trustees Members of CAU must complete the Conflict of Interest Disclosure Form.

4.0. Definition of Key Teams

- **Business** - Any company or corporation, partnership, sole proprietorship, firm, franchise, association, organization holding company, joint stock company, receivership, trust (business, real estate, estate planning, or otherwise), enterprise or any other legal entity.
- **HHS** - HHS means the United States Department of Health and Human Services, and any components of the Department to which the authority involved may be delegated.
- **Investigator** - An investigator is defined as the Principal Investigator and any other person who is responsible for the design, conduct, or reporting of research or proposed for such funding, including subgrantees, contractors or collaborators. The definition of Investigator includes the Investigator's spouse and dependent children.
- **PHS** - PHS means the Public Health Service, an operating division of the U.S. Department of Health and Human Services, and any components of the PHS to which the authority involved may be delegated.
- **Research** - Research means a systematic investigation designed to develop or contribute to generalizable knowledge, including public health, behavioral, and social-sciences research. The term encompasses basic and applied research and product development.
- **Significant Financial Interest** - Significant Financial Interest in a business is anything of monetary value, including, but not limited to, salary or other payments for services (e.g., consulting fees or honoraria); intellectual property rights (e.g., patents, copyrights and royalties from such rights); that exceeds \$5,000 or equity interests (e.g., stocks, stock options or other ownership interests) that exceed \$5,000 or represent a five (5) percent or more ownership interest in any single entity during the 12-month period ending September 30. It excludes any interest arising solely by reason of investment in such business by a mutual, pension or other institutional investment fund over which the employee does not exercise control.

For the purposes of this policy, disclosure is required when the interest in a business by an employee or family member in aggregate exceeds \$10,000 or ownership interest of five (5) percent or more in any single entity during the 12-month period ending September 30.

The calculation of interests that should be disclosed includes the aggregated holdings of CAU employee and his/her spouse and dependent children.

- **Family or Family Member** - Immediate Family Member or Family includes the faculty or staff member's spouse, domestic partner, children (including stepchildren), parents, siblings, grandparents, grandchildren, father-in-law and mother-in-law or any other in-law.

- **Compliance Committee** -The University's Compliance Committee membership consists of: the Vice President for Academic Affairs/ Provost, the Vice President for Finance and Business Services, Associate Vice President for Academic Affairs, the University General Counsel, the Chief Compliance Officer, the Vice President for Research and Sponsored Programs, the Dean of the School of Arts and Sciences, and the University Budget Officer will jointly appoint members of this standing committee, which will include the following membership:
- **Chief Compliance Officer (Conflict of Interest Officer)** -The Chief Compliance Officer or his or her designee is the Conflict of Interest Officer.
- **Dependent** - An employee's spouse, domestic partner or un-emancipated child(ren), including stepchildren and adoptees, under the age of 18, or anyone who receives more than one-half of his or her financial support during a year from an Employee.
- **Domestic Partner** - A same sex domestic partner of an employee who is eligible for same sex domestic partner benefits under University policy.
- **Equity Interest** - Any ownership interest in a company or business, including, but not limited to, stocks, stock options or warrants, membership or partnership interests or rights, and similar interests.
- **Financial Conflicts of Interest** - Situations where an Employee's Financial Interest (including an Investigator's Significant Financial Interest, where applicable) compromises, or could appear to compromise, his or her judgment or ability to carry out the Institutional Responsibilities associated with his or her appointment or employment. A Financial Conflict of Interest may take many forms, but in general arises when an employee in a relationship with an outside person or organization is in a position to influence the University's business, research or decisions in ways that could lead directly or indirectly to financial gain for the Employee or the employee's dependents or could give an improper advantage to others to the detriment of the University.

When applied to an Investigator, Financial Conflicts of Interest occur in situations in which such Investigator's Financial Interest (including Significant Financial Interest) compromises, or could appear to compromise, his or her professional judgment regarding the design, conduct or reporting of research or if such Financial Interest could directly and significantly affect the design, conduct or reporting of research. The bias such conflicts may conceivably impart not only affects collection, analysis and interpretation of data, but also the hiring of staff, procurement of materials, sharing of results, choice of protocol, involvement of human participants and the use of statistical methods.

Financial Conflicts of Interest also include the use of University facilities, personnel, equipment, IT Resources, confidential information or other resources for purposes that could lead directly or indirectly to financial gain for the employee and/or his or her dependents.

- **Financial Interest** - Any interest that will, could or is intended to lead to a profit or an ascertainable increase in the income or net worth of an University employee and/or a dependent. Such a profit or increase in income or net worth could be realized through the receipt of anything of monetary or potential monetary value, including, but not limited to, payments of any kind (e.g., salary, consulting fees, honoraria, gifts, dividends, distributions, rent, paid authorship, etc.), Equity Interests, an increase in the value of real estate or Equity Interests, or Intellectual Property Rights.
- **FIS** - A Financial Interest Statement is a disclosure required by NIH, HHS, and NSF at the time research proposals are submitted.
- **Institutional Responsibilities** - An employee or Investigator's professional responsibilities on behalf of CAU, including, but not limited to, activities such as research, research consultation, teaching, professional practice, institutional committee memberships and service on panels such as institutional review boards or data and safety monitoring boards.
- **Intellectual Property Rights**
Any interest in intellectual property, including, but not limited to, patents, copyrights, licenses, royalties from such rights, agreements to share royalties and similar interests.
- **Investigator** - A project director, a principal investigator of a research project and any other person, regardless of title or position, who has responsibility for the design, conduct or reporting of research or project results at or involving CAU, including Employees, sub-grantees, contractors, subcontractors, collaborators and consultants. In general, any individual specifically named in a proposal and any individual whose resume or curriculum vitae is appended to a proposal is an Investigator for the purposes of this policy.
- **Regulatory Committee** - Any University committee or board with regulatory oversight responsibilities, such as Institutional Review Boards (IRB), Institutional Animal Care and Use Committee, the Institutional Biosafety Committee and similar boards or committees.
- **Responsible University Official** - The Responsible University Official for Research-Related Financial Conflicts of Interest, who is either the Provost, Vice President(s) or Senior Cabinet Level Manager that oversees the receipt and review of disclosures of Significant Financial Interests related to (i) proposing, conducting or reporting of CAU research or scholarship, (ii) research regulatory compliance and (iii) commercialization of CAU's intellectual property and the management of real or potential Conflicts of Interest arising from these disclosed Significant Financial Interests.
- **Significant Financial Interest**
A Financial Interest held by an Investigator and/or an Investigator's dependent that reasonably appears to be related to the Investigator's Institutional Responsibilities and that consists of one or more of the following:
 1. Remuneration (including salary, consulting fees, honoraria, paid authorship and travel reimbursement) received from a publicly traded company during the

twelve-month period preceding the date on which an Investigator is making a disclosure, and/or an Equity Interest held in such publicly traded company, if the aggregate value of such remuneration, plus the value of the Equity Interest as of the date of disclosure, exceeds \$5,000;

2. Remuneration (including, but not limited to, salary, consulting fees, honoraria and paid authorship) received from a non-publicly traded company during the twelve-month period preceding the date on which an Investigator is making a disclosure, if the remuneration exceeds \$5,000;
 - a. Any equity Interest in a non-publicly traded company or business, regardless of value; and
 - b. Any Intellectual Property Rights, regardless of value.

Significant Financial Interest does not include:

 - i. An Employee's salary or royalties received from the University and/or CAU Institutional Advancement and University Relations,
 - ii. Income from seminars, lectures or teaching engagements sponsored by a federal, state or local government agency or an institution of higher education, or
 - iii. Income from service on panels for a federal, state or local government agency or institution of higher education.

5.0. Regulations

- Code of Federal Regulations: www.gpoaccess.gov/ecfr/
- Department of Health and Human Services: www.hhs.gov/ohrp
- National Science Foundation, Award and Administration Guide: www.nsf.gov/publications/pub_summ.jsp?ods_key=aag101&org=NSF

NEXT PAGES:

Addendum: Research Related Financial Conflict of Interest Disclosure, Public Health Service Requirements and Procedures

Appendixes

- Appendix A - Conflict of Interest Disclosure Form (CAU/COI-1)**
- Appendix B - Conflict of Interest Review and Mitigation Form (CAU/COI-2)**
- Appendix C - Financial Interest Statement (CAU/FIS-1)**



**CLARK ATLANTA UNIVERSITY
ADDENDUM - RESEARCH RELATED FINANCIAL
CONFLICT OF INTEREST- PHS, NIH, NSF FUNDED PROJECTS**

REQUIREMENT AND PROCEDURES

I. UNIVERSITY'S COMMITMENT TO ELIMINATING RESEARCH RELATED FINANCIAL CONFLICT OF INTEREST

Clark Atlanta University (CAU/University) commits to the basic values of openness, academic and scholarly integrity, integrity of business policy and procedure, independence, and safe and ethical research, as well as to its tradition and expectation that employees will conduct their relationships with the University with candor and integrity. To ensure the integrity of all institutional activities, including review and conduct of research involving human subjects, and the associated fiscal, contractual and procurement transactions, regardless of the source of support, CAU has elected to apply the same Individual Financial Conflicts of Interest policy to all University activities.

CAU will exercise oversight and care in eliminating or managing Research Related Financial Conflicts of Interest that do or may arise because of an employee's financial interest in CAU activities. CAU will not accept or enter into agreements, contracts, gifts or purchases that give rise to a Financial Conflict of Interest unless the conflict can be eliminated or appropriately managed through administrative oversight to protect the interests of the University.

II. RESPONSIBILITIES OF THE UNIVERSITY

A. Research Investigator

1. As part of fulfilling his or her responsibilities, and to assist the University in avoiding research related significant conflict interest, the investigator must disclose any known financial interests that he, she or a dependent has in any of the following:
 - Any University purchase or procurement of goods or services (whether or not pursuant to a formal contract) or in any investment or loan made by the University.
 - Proposals that are submitted to external sponsors for funding.
 - Protocols for research that are submitted for review and approval by a regulatory committee (or to a subcommittee).
 - Any agreement relating to University technology or other intellectual property that is or will be subject to negotiations with any third person or entity.
 - A donor that contributes a monetary gift or gift-in-kind designated to be in support of the employee's scholarly activities.
 - For an Employee who is a member of a regulatory committee, any financial interest that he or she has in any research protocol submitted to that regulatory committee (with the employee being recused from the review process regarding such protocol).



CLARK ATLANTA UNIVERSITY
ADDENDUM - RESEARCH RELATED FINANCIAL
CONFLICT OF INTEREST- PHS, NIH, NSF FUNDED PROJECTS

- For an employee who is an Investigator, any significant financial interest that he or she has not already disclosed as a financial interest on the Conflict of Interest Disclosure Form (CAU/COI-1).
- 2. Disclosures are to be made as far in advance of the contract, purchase, procurement, investment or loan as possible and may be made on an annual basis with respect to particular types of contracts or purchases of goods or services that the University makes on a repetitive basis from a particular vendor.
- 3. Such disclosures are required to be made annually and whenever a new financial interest arises. An employee who fails to make disclosures required by this policy and procedures, or who otherwise violates any of its provisions may be subject to discipline for misconduct and/or insubordination under University policies, practices and procedures, up to and including dismissal.
- 4. Comply with the requirements of any management or mitigation plan.

B. Chief Compliance Officer

1. Receives disclosures of investigators' Financial Interest in University procurement or contractual transactions, gifts received by the University and dedicated to the investigator's research or scholarship, or any University investment or loan; oversee the review of these disclosures; and manage any real or potential conflicts of interest arising from these Financial Interests.
2. Advises in the development and oversight of appropriate conflict management and mitigation plans for any financial conflicts of interest, when appropriate. When necessary, notify the University's purchasing office and contracting officials upon receipt of a Conflict of Interest Disclosure form (CAU/COI-1) disclosing a financial interest that involves the investigator's respective activities.
3. Administers this policy, with the Responsible University Officials (Provost, Vice Presidents, and Other senior level cabinet members).
4. Responds to requests for interpretation or clarification of this policy.
5. Receives and evaluates appeals from investigators regarding management of real or potential conflicts of interest arising from any disclosed financial interests and significant financial interests.



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C. Principal Investigator (PI)

Notify Research and Sponsored Programs (RSP) of all research investigators on a HHS, NIH or NSF project.

D. Purchasing Office

The Purchasing Office, upon receipt of a Conflict of Interest Disclosure form (CAU/COI-1) from the Chief Compliance Officer, maintains positive verification that financial conflicts of interest have been managed or eliminated prior to procuring goods or services for which a financial interest has been disclosed.

E. Responsible University Official (Affected Senior Manager)

(Provost, Vice Presidents, and Other Senior Cabinet Level Managers)

1. Develop, implement, and monitor management plans for real or potential Conflicts of Interest arising from disclosed Significant Financial Interests.
2. Oversee the review of disclosures of Significant Financial Interest to identify real or potential Conflicts of Interest arising from these Significant Financial Interests. If a Significant Financial Interest disclosed by an employee is governed by this policy, inform the Chief Compliance Officer.
3. Satisfy all federal regulatory requirements relevant to the subject matter of this policy and applicable to CAU including, but not limited to, requirements related to (i) reporting, (ii) record keeping, (iii) causing required clauses to be included in agreements with sub-grantees, sub-recipients, contractors, subcontractors and collaborators in federally sponsored research projects, (iv) making any required public disclosures of Significant Financial Interests and (v) training Investigators.
4. Report annually to the Chief Compliance Officer and Compliance Committee on real or potential Conflicts of Interest that may impact objectivity in research, the status of formal plans implemented to manage or reduce these Conflicts of Interest and compliance with applicable state and federal requirements and University policies.
5. Administer this policy as the Chief Compliance Officer.

F. Research and Sponsored Programs (RSP)

1. Receive Financial Interest Statements from PIs and Investigators when a proposal is submitted to an external sponsor (See Appendix C).
2. Obtain positive verification from the Chief Compliance Officer that Financial Conflicts of Interest have been managed or eliminated prior to awarding or



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expending any funds for a sponsored project for which a Financial Interest or a Significant Financial Interest has been disclosed.

H. University Institutional Advancement and University Relations Office

Obtain positive verification from the Chief Compliance Officer that Financial Conflicts of Interest have been managed or eliminated prior to accepting a gift for which a Financial Interest has been disclosed.

I. Academic School or Department

The office will establish a policy appropriate to their circumstances to ensure that instructional materials are selected for their academic merit and that there is no significant financial conflict of interest or appearance of such in selecting instructional materials.

III. DISCLOSURE

In addition to the disclosure required in Section 2.6.0 of the Policy and Procedures, research investigators involved Public Health Services (PHS) projects funded by the National Institutes of Health (NIH), Department of Health and Human Services (HHS), and the National Science Foundation (NSF) projects are required to:

A. Disclose Financial Interests Related to a Gift Designated for the Benefit of a Named Investigator's Scholarship or Research

1. CAU *University's Policy 12.3 - Gift Acceptance* specifies the procedures related to determining whether any business or pecuniary ties exist between a donor and the Investigator named as the beneficiary of a gift. Supplementing those procedures, the following steps will be taken.
2. Once any business or pecuniary ties are identified by the responsible business manager, the nature of these ties will be communicated to the Chief Compliance Officer. Upon receipt of this communication, the Chief Compliance Officer will advise the Provost/Vice President for Academic Affairs, Dean of the School of Arts and Sciences, and the investigator on the development of a management plan (corrective actions plan), and how the implementation of respective management plans will be monitored.
3. The management plan will be forwarded for additional approval by appropriate administrative levels.
 - If approved at all administrative levels, the gift will be accepted and the management plan implemented.
 - If the management plan is not approved at all administrative levels, the concerns of the official not approving will be identified and an alternative approach addressing these concerns will be developed. Once the revised



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management plan has been accepted by the Investigator and oversight manager and approved at all administrative levels.

B. Disclose Investigator Significant Financial Interest in a Sponsored Project

1. When a Principal Investigator (PI) submits a project proposal to Research and Sponsored Programs (RSP) for submission to a PHS funded sponsor or to NSF, the PI must:
 - Identify to the Research and Sponsored Program (RSP) the names of all individuals who are Investigators for the proposed project.
 - Complete an Financial Interest Statement form (FIS) reporting whether he or she (the PI) and/or his or her dependent(s) has a Significant Financial Interest relating to the proposed project and submit the FIS to the RSP pre-award official.
2. The PI will ensure each Investigator identified to submit a completed FIS for the relevant proposed sponsored project.
3. Upon receipt of FISs from the PI and Investigators for a proposed project, the RSP pre-award official reviews each FIS for completeness. An incomplete FIS will be returned to the Investigator who submitted it and the deficiency noted. If the FIS is complete, the RSP pre-award official will do one of the following:
 - If the Investigator indicated they do not have a Significant Financial Interest, the proposal record will be updated to indicate that an FIS has been submitted and the FIS will be filed in the proposal file.
 - If the Investigator indicated they do have a Significant Financial Interest, the proposal record will be updated to indicate that an FIS has been submitted and the FIS will be forwarded to the Responsible University Officials (Provost/Vice President for Academic Affairs and Dean of Arts and Sciences).
4. When the Responsible University Official receives a FIS indicating the existence of a Significant Financial Interest related to a proposed sponsored project, the Responsible University Official will contact the Investigator submitting the FIS and request that the Investigator complete a Research Related Significant Financial Interest Disclosure Form and return it to the office of the Responsible University Official.
5. Research Related Significant Financial Interest Disclosure Forms received by the office of the Responsible University Official will be reviewed first to determine if the disclosure of Significant Financial Interest is necessary under this policy. Disclosures found to be unnecessary will be returned to the Investigator. If necessary, the disclosure will be reviewed by the Responsible University Official for completeness and clarity. When judged to be complete, the Responsible



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University Official will determine if the disclosure is new or a further application of a previous disclosure.

6. New disclosures will be reviewed first to determine if a disclosure of Financial Interest is also required. If yes and the proposed project is to be initiated, the Responsible University Official will notify the Chief Compliance Officer, who will follow the necessary steps outlined in this policy and procedures). The Responsible University Official will next determine whether the disclosed Significant Financial Interest will create a Financial Conflict of Interest if the proposed project is initiated. If no Financial Conflict of Interest is identified, the disclosure will be recorded and maintained by the Responsible University Official's files, with the basis for the determination of no Financial Conflict of Interest documented and the disclosure form stored in a secure location. If a Financial Conflict of Interest is identified, it will be considered to determine whether it can and should be managed by the University.
 - If the Financial Conflict of Interest is judged to be unmanageable or inappropriate to manage, steps will be taken to eliminate the Financial Conflict of Interest, which may include withdrawing the project proposal that is the subject of the Financial Interest or changing the Investigator's role and/or responsibilities in the proposed project. The Chief Compliance Office will be notified. If, after the Financial Conflict of Interest has been eliminated through collaboration with the Chief Compliance Officer, it is still possible and desirable to conduct the proposed project, the Responsible University Official(s) will document the disclosure, note the actions taken to eliminate the Financial Conflict of Interest, and file the disclosure and all documentation in a secure location until such time as the project is either cancelled or initiated.
 - If the Financial Conflict of Interest is judged to be manageable, a written conflict management plan will be developed with the Investigator and appropriate Responsible University Official(s). Once a management plan has been established and accepted, the Responsible University Official(s) will record the disclosure, document the determination of a Financial Conflict of Interest and management plan, and file the disclosure and all documentation in a secure location until such time as the project is either cancelled or initiated. When the project is initiated, the management plan will be implemented.
7. Disclosures with further application of a previous disclosure will be reviewed by the Responsible University Official(s) to determine if elements of the disclosure or the determination of a Financial Conflict of Interest have changed such that the original disposition of the disclosure should be reconsidered.



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- If there is no significant change, the Responsible University Official(s) will record the disclosure, document the conclusion that nothing has changed and any previous actions taken, and file the disclosure and all documentation in a secure location until such time as the project is either cancelled or initiated. When the project is initiated, any necessary management plans previously developed will be implemented.
 - If a significant change is identified, the disclosure will be re-reviewed as a new disclosure.
8. Proposed projects funded by an external sponsor or initiated using University internal funds that require a management plan for recognized Financial Conflicts of Interest will be implemented and monitored no less than annually by the office of the Responsible University Official.
 9. If a proposed project is funded by an external sponsor, the Responsible University Official(s) will execute whatever notifications of the sponsor and/or public disclosure are required based on the sponsor's terms and conditions for award.
 10. Annually, the Responsible University Official(s) in collaboration with the Research and Sponsored Programs will provide a written notice to all Investigators who have filed FISs, whether they initially indicated a Significant Financial Interest or not, of the need to update their FIS and, if a Conflict of Interest and Commitment Disclosure Form was also filed, of the need to update the form.

C. Disclose Investigator Financial Interests in a Research Project with Human or Living Vertebrate Animal Subjects

1. At the time of submission of a protocol for review and approval of research involving human or living vertebrate animal subjects to a CAU University Institutional Review Board or Institutional Animal Care and Use Committee, respectively, the PI will indicate whether he or she or his or her dependent(s) or any other project Investigators and/or their dependent(s) have a Financial Interest in the outcome of the proposed research or in any entity that will be impacted by the outcome of the proposed research.
2. If the PI or any project Investigators, or their dependents, have such a Financial Interest, they must complete a Financial Interest Statement form Disclosure Form and submit it to the office of the Responsible University Official(s) and Research and Sponsored Programs.
3. The office of the Responsible University Official will first review the disclosure for completeness and clarity.



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- If the disclosure is not complete or clear, it will be returned to the discloser and the deficiency noted.
 - If the disclosure is complete and clear, it will be advanced to the next stage of review.
4. The Responsible University Official will then review the disclosure to determine whether it is a new disclosure or a further application of a previous disclosure.
5. New disclosures will be reviewed first to determine if a disclosure of Financial Interest is also required. If yes and the proposed project is to be initiated, the responsible official will notify the Chief Compliance Officer, who will follow the necessary steps outlined in this policy and procedures.
- The Responsible University Official(s) will next determine whether the disclosed Financial Interest will create a Financial Conflict of Interest if the proposed project is initiated. If no Financial Conflict of Interest is identified, the disclosure will be recorded in the Responsible University Official's files, the basis for the determination of no Financial Conflict of Interest documented and the disclosure form stored in a secure location. If a Financial Conflict of Interest is identified, it will be considered to determine whether it can and should be managed by the University.
 - If the Financial Conflict of Interest is judged to be unmanageable or inappropriate to manage, appropriate steps will be taken to eliminate the Financial Conflict of Interest, which may include withdrawing the project protocol that is the subject of the Financial Interest or changing the PI's or other project Investigator's role and/or responsibilities in the proposed protocol. If, after the Financial Conflict of Interest has been eliminated, it is still possible and desirable to conduct the proposed project, the Responsible University Official will record the disclosure in the Responsible Official's files, document the actions taken to eliminate the Financial Conflict of Interest and file the disclosure and all documentation in a secure location until such time as the project is either cancelled or initiated.
 - If the Financial Conflict of Interest is judged to be manageable, a written conflict management plan will be developed with the PI or other project Investigator and appropriate oversight manager(s). Once a management plan has been established and accepted, the Responsible University Official will record the disclosure in the Responsible University Official's files, document the determination of a Financial Conflict of Interest and management plan, and file the disclosure and all documentation in a secure location until such time as the project is either cancelled or initiated. When the project is initiated, the management plan will be implemented and



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monitored no less frequently than annually by the office of the Responsible University Official.

6. Disclosures with further application of a previous disclosure will be reviewed by the Responsible University Official to determine if elements of the disclosure or the determination of a Financial Conflict of Interest have changed such that the original disposition of the disclosure should be reconsidered.
 - If there is no significant change, the Responsible University Official will document the disclosure and note in the conclusion that nothing has changed and file in a secure location until such time as the project is either cancelled or initiated. When the project is initiated, any necessary management plans previously developed will be implemented and monitored no less frequently than annually by the office of the Responsible University Official.
 - If a significant change is identified, the disclosure will be re-reviewed as new disclosure Procedures.
7. If a proposed project is funded by an external sponsor, the Responsible University Official will execute whatever notifications of the sponsor and/or public disclosure are required based on the sponsor's terms and conditions for award.
8. Annually, the Responsible University Official will provide a written notice to all PIs and/or other project Investigators who have filed disclosures of Financial Interests related to projects involving human or vertebrate animal subjects of the need to update their disclosure.

E. Disclose by a Member of a Regulatory Committee of a Financial Interest in a Protocol to be Reviewed by that Committee

1. If a member of a Regulatory Committee recognizes that he or she has a Financial Interest in a protocol to be reviewed by that Regulatory Committee, or in an entity that may be affected by the outcome of a protocol to be reviewed by the Regulatory Committee, the committee member must:
 - Inform the chairperson of the Regulatory Committee that he or she has a Financial Interest in a protocol to be reviewed.
 - Recuse himself or herself from participation in the review of that protocol.
 - Return to the chairperson of the Regulatory Committee all materials associated with the review of the protocol.
 - Leave the committee meeting room during discussion, deliberation and voting on the protocol, both during the initial meeting and any subsequent meetings of the Regulatory Committee when the protocol is considered for



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purposes of initial or continuing review, for discussion of unexpected or adverse events or for non-compliance associated with the protocol.

F. Disclose Financial Interests Related to Commercialization of CAU Intellectual Property

1. Upon receipt of notification from Responsible Official that one or more CAU Employees holds an Equity Interest in, serves as an officer for or otherwise is involved in a management role with a third party consideration of licensing University intellectual property, the Responsible Official will contact each named CAU employee and determine whether:
 - The employee has received permission under the Conflicts of Interest and Commitment Policy 2.2 to engage in an outside activity with the third party named in license negotiations with the University.
 - It is intended that the employee will be involved in continuing research and development of the licensed CAU intellectual property in their capacity as an employee (for example, through sponsored research funded by the licensee to CAU University).
 - CAU facilities will be utilized for the licensee's further commercial development of the licensed intellectual property.
 - Any CAU trainee (for example, graduate student or postdoctoral researcher) will be involved in further development at CAU of the licensed intellectual property.
 - The employee plans to describe results from further development of the licensed intellectual property at CAU in scholarly publications.
2. Based on the above determinations, the Responsible Official will further determine whether a Financial Conflict of Interest management plan is required to oversee the Employee's Institutional Responsibilities concerning the licensed intellectual property.
3. If it is determined that no management plan is needed, the Responsible Official will document the basis for this decision, file the documentation in a secure location and inform designated University Official(s) that negotiations regarding licensing intellectual property to the third party may be completed.
4. If it is determined that a management plan is needed, the Responsible Official will determine whether there is an existing management plan addressing a previously disclosed Financial Interest/Significant Financial Interest related to this third party.
 - If no relevant management plan exists, one will be developed with the employee and appropriate oversight manager, which will then be implemented and monitored by the office of the Responsible Official.



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The Responsible Official will notify the respective dean or unit leader of the implementation of such plan and will notify University Official that negotiations regarding licensing intellectual property to this third party may be completed.

- In the event that a management plan acceptable to all parties can't be developed, the employee, and the employee's dean or unit leader will be informed by the office of the Responsible Official that negotiations regarding licensing intellectual property to this third party may not be executed until or unless a mutually acceptable management plan is accepted.
 - If a relevant management plan already exists, the existing management plan will be reviewed to determine whether it addresses issues related to the potential license of University intellectual property to the third party.
5. If the existing management plan addresses all relevant issues, the office of the Responsible Official will notify the respective dean and University Official that negotiations regarding licensing intellectual property to this third party may be completed.
 6. If the existing management plan does not address all relevant issues, the management plan will be revised as described for a new management plan.

IV. TRAVEL

The investigator will adhere to all provisions and sections of Policy 7.5.4 University Travel.

V. APPEALS

Investigators who disagree with a decision regarding the existence of a Financial Conflict of Interest or the necessary elements of a conflict management plan may submit a written appeal to the Chief Compliance Officer. The Chief Compliance Officer will review the appeal and consult with the University President. The President will review all evidence and recommendations and make a decision. The decision of the President on the matter will be final for all purposes.

VI. TRAINING

A. Mandatory Requirement

It is mandatory that Public Health Services (PHS)-funded and National Science Foundation (NSF)-funded investigators or investigators anticipating receiving PHS funds [e.g. National Institutes of Health (NIH), etc.] or National Science Foundation (NSF) funds complete Financial Conflict of Interest training prior to the expenditure of funds on any newly-funded project (e.g. new or continuation awards) received on or after August 24, 2012.



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B. Training - Purpose/Notification/Frequency/Methods

1. The purpose of the training is to inform PHS or NSF funded investigators of:
 - a) Clark Atlanta University's (CAU) 2.2 Conflict of Interest and Commitment Policy and related Addendum with an effective date of August 24, 2012;
 - b) Federal regulations related to PHS 2011, related to financial conflict of interest; and
 - c) Disclosure responsibilities regarding "Significant Financial Interest".
2. Notification to investigators occurs upon the submittal of a "Proposal Alert" form from the Research and Sponsored Programs (RSP) related to funding from HHS, NIH or NSF. The investigator is also informed of the Financial Conflict of Interest mandatory training requirement.
3. The frequency of the mandatory training will be annually. An investigator new to the University, must complete the training prior to engaging in research related to any PHS-funded or NSF-funded grant. However, when CAU revises the Conflict of Interest and Commitment Policy, with addendum that affects the requirements of investigators and an investigator is not in compliance, they must take training.
4. Method used by the Research and Sponsored Program to train investigator on Financial Conflict of Interest requirements and regulations will be through web-based, one-on-one, or group contacts.

VII. SUB-RECIPIENTS REQUIREMENTS

When an investigator carries out federally-funded research through sub-recipients, CAU, as the awardee institution, will take reasonable steps to ensure that any sub-recipient investigator complies with this policy by:

- A. Requiring a Financial Interest Statement be completed at the proposal stage, which will provide certification that the potential sub-recipient has a financial conflict of interest policy in place that meets the PHS requirements;
- B. Incorporating as part of a written agreement with the sub-recipient, terms that certify the sub-recipient has a financial conflict of interest policy that meets the PHS requirements for disclosure and reporting of financial conflict of interest; and,
- C. Adhering to CAU 2.2 Policy - Conflict of Interest and Commitment and associated Addendum to the policy, if the sub-recipient's institution does not have a financial conflict of interest policy. In any event, CAU will work with the sub-recipient to manage, eliminate or reduce the conflict.



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VIII. WEBSITE ADDRESS FOR THIS POLICY

www.CAU.edu/policies/.html

Appendixes (on next pages)-

Appendix A – Conflict of Interest Disclosure Form (CAU/COI-1)

Appendix B – Conflict of Interest Review and Mitigation Form (CAU/COI-2)

Appendix C – Financial Interest Statement Form (CAU/FIS-1)



CLARK ATLANTA UNIVERSITY
Conflict of Interest Disclosure Form

(Appendix A)

Name _____ Title _____

Department _____ Unit/School _____ Dean/VP _____

Position Type (check one and complete):

Faculty [] Academic/Research Staff [] Administrative Staff [] Grad/Undergrad Student []

Percent of University Appointment: _____ %, External Investigator [] Home institution/organization: _____

Instructions for Faculty and Staff: Check the appropriate box for each question and complete the other sections of form, if necessary. The forms should be completed based on current activities and those occurring during the 12 month period ending September 30th. Return the completed form(s) in a sealed envelope with your name on front to the Vice President for Academic Affairs or the University Vice President in your line of report.

Section 1 - General Disclosure

A. Remuneration: Are you receiving or will receive the disclosed remuneration from an outside entity at amounts greater than \$5,000?

NO [] YES (If YES, please complete Section 2)

B. Business Relationships and Research Activities: Are you or a family member (spouse, domestic partner, children [including stepchildren], parents, siblings, grandparents, grandchildren, father-in-law, mother-in-law or other in-law) involved as an investor, owner, employee, consultant, contractor, or board member with (or entitled to receive royalties from) a business that (1) has a contractual relationship with Clark Atlanta University (CAU), (2) provides goods or services to CAU, (3) sponsors or is involved in research activities at CAU, or (4) receives referrals from CAU?

[] NO [] YES (If YES, please complete Section 3)

C. Family Members Working at CAU: Do you or a family member (spouse, domestic partner, children [including stepchildren], parents, siblings, grandparents, grandchildren, father-in-law, mother-in-law or other in-law) supervise, review, determine or influence compensation, or assign work to each other at CAU?

[] NO [] YES (If YES, please complete Section 4)

D. Gifts: Have you or a family member [spouse, domestic partner, children (including stepchildren), parents, siblings, grandparents, grandchildren, father-in-law, mother-in-law or other in-law] accepted gratuities, gifts, or special favors from someone who is doing business with or proposing to do business with CAU that exceeded \$99 in value per year from a single source?

[] NO [] YES (If YES, please complete requirements in Section 5)

E. Outside Activities: Do you have activities outside of work that overlap with CAU's standard business hours or your time commitment to CAU?

[] NO [] YES (If YES, please complete Section 6)

F. Legal Proceedings and Debarment: Have you been involved in any fraud, antitrust or criminal proceedings as a defendant (other than a minor traffic offense) or been debarred, suspended or otherwise excluded by a duly authorized regulatory agency or had a transaction with any such agency terminated for any reason?

[] NO [] YES (If YES, please complete Section 7)

G. Other Relationships: Are you or a family member [spouse, domestic partner, children (including stepchildren), parents, siblings, grandparents, grandchildren, father-in-law, mother-in-law or other in-law] involved in any other activity or relationship directly or indirectly involving CAU that creates a conflict of interest or the appearance of a conflict under the CAU Conflict of Interest Policy?

[] NO [] YES (If YES, please complete Section 8)

Employee's Signature: _____ Date: _____

Supervisor's Signature: _____ Date: _____

If you answered yes to any question on the previous page, please complete the relevant section(s) below. If you need more space, attach additional sheets. If you answered no to all questions, you may discard pages 2 and 3.



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Conflict of Interest Disclosure Form

(Appendix A)

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Section 2 –Remunerations:

Type of entity (please check the appropriate boxes):

- Publicly-traded entity Non-publicly-traded entity
- Educational Institution or Local, State, Federal Government Agency

1. Please describe the business of this entity:

2. Please indicate the expected aggregate amount of annual remuneration you will receive in the next twelve months (remuneration includes salary and any payment for services not otherwise identified as salary, e.g., consulting fees, honoraria, paid authorship, travel reimbursement; use a best estimate approach based on your consulting/employment agreement and/or remuneration received from the above entity in the last 12 months):

\$ _____.

3. What is the nature of the relationship/service for which you, your spouse, or dependent children will receive compensation? Please describe your role or ownership interest in the organization, including any applicable titles (President, CEO, CFO, CSO, other- please indicate).

4. Does the disclosed remuneration include royalties and/or licensing fees? If so, please describe the intellectual property to which the payments are related and how it is, or is not, related to your CAU research and sponsored program work.

Section 3 - Business Relationships or Research Activities: Please complete Section 3 for each business relationship or research activity.

1. Name of business: _____

2. Categorize the business relationship with CAU:

- Consultant, subcontractor, or advisor
- Research/testing activities
- Business referrals
- Other contractual or business relationship (describe): _____

Briefly describe the business relationship:

3. Who is involved with the business? Check all that apply:

- Yourself
- A family member (name and relationship): _____

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CLARK ATLANTA UNIVERSITY
Conflict of Interest Disclosure Form

(Appendix A)

Describe the position or involvement (check all that apply):

- Owner and/or Investor
- Board Member
- Employee
- Other _____

4. Do you or a family member receive salary or other payments for services (e.g., consulting fees or honoraria) that exceed \$5,000 or equity interests (e.g., stocks, stock options or other ownership interests) that exceed \$5,000 or represent a five (5) percent or more ownership interest in any single entity?

- NO
- YES, if yes describe _____

5. Do your job responsibilities at CAU involve this business?

- NO
- YES, if yes describe _____

6. Who at CAU oversees the relationship with this business?

Name: _____ Title: _____

Department: _____ Phone: _____

7. Have you used CAU's name, resources (facilities, personnel, or equipment), or confidential information in connection with this business?

- NO
- YES, if YES, describe the CAU resources used

8. Has your supervisor or department head approved this relationship?

- NO
- YES, if YES, please provide name of supervisor or department head and date approved

Supervisor/Department Head: _____ Date: _____

Section 4 - Family Members Employed at CAU: Please provide the following information:

1. Name of family member employed at CAU: _____

Relationship to you: _____ Their Position: _____

Their Department: _____ Their Supervisor: _____

2. Do you and your family member work in the same department or area?

- NO
- YES: If YES, check any of the following that apply:



CLARK ATLANTA UNIVERSITY
Conflict of Interest Disclosure Form

(Appendix A)

- | | |
|--|---|
| <input type="checkbox"/> Review family member's work | <input type="checkbox"/> Family member reviews my work |
| <input type="checkbox"/> Determine or influence family member's salary | <input type="checkbox"/> Family member determines or Influences my salary |
| <input type="checkbox"/> Supervise family member | <input type="checkbox"/> Family member supervises me |
| <input type="checkbox"/> Assign work to family member | <input type="checkbox"/> Family member assigns work to me |

Section 5 - Gifts for Personal Use: If the value of the personal gift received by you or a family member exceeds \$99 please contact the Compliance Office for a Gift Receipt Form or obtain a copy from www.cau.edu Compliance Web page. Return the completed Gift Form to the Compliance Office.

Section 6 - Outside Activities and CAU:

- Describe the outside activities: _____

- Have you used CAU's name, resources (facilities, personnel, or equipment), or confidential information in connection with the outside activities?

 NO YES, if YES, describe the resources used: _____

Section 7 - Legal Proceedings and Debarment: Describe any legal proceedings or debarment situations

Section 8 - Other Relationships: Describe all other relationships which may present a conflict of interest

Please check all that apply:

- My CAU research/sponsored program work is funded by HHS, NIH, or NSF.
- My CAU research/sponsored program work involves human subjects.
- Products and/or services made/delivered by the above identified entity in which I have a financial interest are being used in my research/sponsored program work.

Please describe how your disclosed external relationship with the above identified entity does, or does not, relate to your research/sponsored program work:

Employee's Signature: _____ Date: _____

Print Name: _____ 900 number: _____

Supervisor's Signature: _____ Date: _____



CLARK ATLANTA UNIVERSITY (Appendix B)
Conflict of Interest Review and Mitigation Form

Instructions for CAU Vice Presidents: Please review the faculty or staff member's conflict of interest disclosure form. If the employee answers "no" to all questions, forward the form to the Director of Human Resources. If the employee answers "yes" to any questions on the conflict of interest disclosure form, complete and sign this conflict of interest review form and forward it to the Chief Compliance Officer.

EMPLOYEE'S NAME: _____

TYPE OF POTENTIAL OR ACTUAL CONFLICT:

- Significant Financial Interest
- Family Member
- Receipt of Gift or Gifts
- Conflict of Commitment
- Legal Proceedings or Debarment
- Other _____

PROPOSED RESOLUTION: Describe the suggested resolution of the potential conflict of interest and attach a Management Action Plan (Corrective Action Plan), if required.

Reviewer: _____

Date: _____

Title: _____

Phone: _____

Department: _____

Return completed forms with your recommendations and all supporting materials (e-mails, memos, etc.) to the Compliance Office located in Room 215 Harkness Hall. If you have any questions, call the Chief Compliance Officer at 404-880-6662.

Compliance Office Recommendation(s):



CLARK ATLANTA UNIVERSITY
Financial Interest Statement (FIS)

(Appendix C)

(To be completed by all investigators with proposals or projects to be funded by NIH, HHS, or NSF)

Investigator's Name _____

Department / Unit _____

Office or School _____

Proposal Title _____

Proposal Submitted To _____

Check the appropriate box below:

- NO, I do not have a significant financial interest related to this proposal.
- YES, I do have a significant financial interest related to this proposal, and
 - I have already disclosed my significant financial interest for the current fiscal year on CAU's Conflict of Interest and Commitment Disclosure Form, (CAU/COI-1) or;
 - I will disclose my significant financial interest on a Form CAU/COI-1 within the next 30 days.

I hereby certify that:

- a) The above statement concerning significant financial interest related to the above named proposal is accurate as of this date;
- b) I will update this statement and my Form CAU/COI-1 whenever new significant financial interests are acquired (or current financial interests are discontinued) during the pendency of this proposal and any resulting award; and
- c) I will cooperate fully with the University Chief Compliance Officer (Conflict of Interest Officer) to identify any resulting real or potential conflicts of interest and to take appropriate steps to manage, reduce, or eliminate these conflicts prior to receipt of any sponsor award resulting from this proposal.

Signed: _____ Date: _____

(Original signature only – a "per" or "for" signature is not acceptable)

For RSP use only:
Proposal # _____