

UNIVERSITY OF COLOMBO, SRI LANKA
DISCLOSING SIGNIFICANT FINANCIAL INTERESTS FOR INVESTIGATORS

The University of Colombo's Financial Conflict of Interest Policy is found in the University web page. Please review those documents and read the following before completing the disclosure form.

Disclosure Requirements: As an investigator on an externally funded project or a proposal for external funding, you are required to disclose your significant financial interests (SFI), aggregated with those of your spouse and dependent children, on the attached disclosure form.

- The International Office must have disclosures prior to submitting your proposal for external funding.
- You are also required to submit a disclosure update during the period of any award funded by NIH within 30 days of discovering or acquiring any new financial interest (including those that may arise between the time the proposal is submitted and the time an award is made).
- You are also required to submit annual update disclosures during the period of any National Institute of Health [NIH] funded award/non-NIH research grants. These annual updates are due between regardless of when you made your initial disclosure or disclosed new SFIs.

DISCLOSURE DEFINITIONS

- **Compensation** means any remuneration, including, without limitation, salary and payment for services not otherwise identified as salary such as consulting fees, payment of personal travel expenses, honoraria, and paid authorship.
- **Equity interest** includes any stock, stock option, or other ownership interest with the value determined through public prices or other reasonable measures of fair market value

DISCLOSURE EXCEPTIONS – DO NOT INCLUDE the following when disclosing financial interests:

- a. Salary, royalties, or other remuneration paid by the University to an Investigator or Innovator if the Investigator or Innovator is currently employed by or has an academic appointment at the University;
- b. Payments or the entitlement to payments from the University derived from royalties and fees paid to the University by a third-party for Intellectual Property assigned by an Investigator or Innovator to the University;
- c. Income from investment vehicles, such as mutual funds and retirement accounts, providing the Investigator or Innovator does not directly control the investment decisions made by such vehicles;
- d. Income from seminars, lectures, or teaching engagements sponsored by the University, 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; or
- e. Income from service on advisory committees or review panels for the University, 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.

DISCLOSURE DETAILS

When you complete the disclosure form, if you check to indicate that you are disclosing any changes to your significant financial interests, as listed in numbers 1 through 6, attach additional pages to your disclosure to provide details as listed below:

When responding, remember that, as the investigator, you are to disclose financial interests that are aggregated for yourself, your spouse, and your dependent children.

1. If you check #1 on the disclosure form, provide the following for each publicly traded entity involved:

- The name of the publicly traded entity
- The combined value of remuneration received and equity interest
- An explanation of how you determined the value of your equity interest
- An explanation of how this financial interest could or could not appear to be related to your research and other educational activities that are conducted as part of your institutional responsibilities

2. If you check #2 on the disclosure form, provide the following for each non-publicly traded entity involved:

- The name of the non-publicly traded entity
- Whether the financial interest was remuneration or equity interest
- If it was remuneration, the value of that received
- An explanation of how you determined the value of your equity interest
- An explanation of how this financial interest could or could not appear to be related to your research and other educational activities that are conducted as part of your institutional responsibilities

3. If you check #3 on the disclosure form, provide a list of the intellectual property (copyrights, patents, etc.) and the value of income received from each

4. If you check #4 on the disclosure form, provide the following for each entity involved:

- The name of the entity
- The value of the equity interest
- The percentage of ownership your interest represents in that entity
- An explanation of how you determined the value of the equity interest
- An explanation of how this financial interest could or could not appear to be related to your research and other educational activities that are conducted as part of your institutional responsibilities

5. If you check #5 on the disclosure form, provide the following for each instance of such travel:

- The purpose of the travel
- The entity that paid for the travel
- The destination(s)
- The dates of the travel

NB: All disclosures, must have manual or digital signatures; a typed name will not be accepted.

UNIVERSITY OF COLOMBO[UOC]
DISCLOSURE OF SIGNIFICANT FINANCIAL INTERESTS OF UOC INVESTIGATOR

1. Award No. :
2. Grant No. :
3. Name :
4. Name of Principle Investigator /Project Director (if not you) :
5. Your role on project:
6. Sponsor :
7. If this project is a subaward to UNC, the funding originates from:
8. Check one:

- Initial disclosure
- Update disclosing new significant financial interests
- Required annual update

9. Check all of the following¹ that represent your significant financial interests when aggregated with those of yoursouse and dependent children. (Please refer Section 25 of the UoC Financial Conflict of Interest Policy)

1. Remuneration received from any publicly traded entity during the 12 months preceding this disclosure, plus any equity interest in that entity as of the date of this disclosure, the combined value of which exceeds US\$5,000.
2. Remuneration received during the 12 months preceding this disclosure from any non-publicly traded entity that exceeds US\$5,000 in value, or any equity interest in that entity as of the date of this disclosure
3. Income related to intellectual property rights and interests which exceeds US\$ 5,000.
4. Travel related to my responsibilities as a UoC employee that was paid on my behalf or reimbursed to me, excluding such travel that was paid by University of Colombo 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.
5. Gifts having an aggregate value of US\$50

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- The required details of significant financial interests I identified above are provided on attached pages.
- I have no significant financial interests to disclose at this time.

INVESTIGATOR CERTIFICATION

I have read the University of Colombo policy on Financial Conflict of Interest Pertaining to Sponsored Programs, and I understand my responsibilities thereunder. I agree to comply with conditions or restrictions that may be imposed by the university to manage my real or perceived financial conflicts of interest. I understand that significant financial interests disclosed here do not necessarily constitute a financial conflict of interest, and I may be asked to provide additional information if it is needed to determine whether a financial conflict of interest does exist.

I certify that to the best of my knowledge, the information provided here is a complete and accurate disclosure of my significant financial interests as of the date of my signature below.

Signature :

Date :

NOTE: Only manual or certified digital signatures are allowed. Signature must also be dated.

All information provided and records related to this disclosure will be held in confidence to the extent permitted by law and in accordance with University of Colombo's Policy on Financial Conflict of Interest Pertaining to Sponsored Programs and the Implementing and other applicable laws for the time being including Right to Information Act No. 12 of 2016 Sri Lanka

¹ Source: [Financial Conflict of Interest Policy of the University of Washington, USA.](#)