



Teachers College
COLUMBIA UNIVERSITY

Outside Interests
Quick-Guide:
**Disclosee – COI Disclosure
Form Format Explained**

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Title: Outside Interest Quick-Guide: Disclosee - COI Disclosure Form Format Explained	Process Owner: Office of Vice President for Administration	Approved By: Akesia Phillip, Sr. Manager, Planning and Operations
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COI DISCLOSURE FORM FORMAT EXPLAINED

The COI Disclosure form contains three parts, and all employees must complete parts I and II and III.

Note: Affirmative answers will reveal additional sections that will appear on the table of contents.

Annual Conflict of Interest Disclosure Statement Introduction

Consistent with its policies on conflicts of interest (The Conflicts of Interest Policy for Trustees, Officers and Key Persons, The Conflicts of Interest and Commitment Policy, The Academic and Research Conflicts of Interest Policy, and Institutional Conflicts of Interest), Teachers College strives to identify and address situations that present actual, potential, and perceived conflicts of interest and conflicts of commitment involving the College's Trustees, Officers, Faculty and Staff. The questions in this form are addressed to all employees and are designed to identify and disclose potential and known conflicts of interest and conflicts of commitment in an effort to properly manage them on behalf of the College.

Instructions

1. Please complete the following questions, to the fullest extent possible. Please note that, generally, the reporting period covers currently and within the last twelve months of the disclosure, but certain questions cover periods of time beyond the current fiscal year.
2. Please note that the obligation to disclose conflicts of interest is ongoing. **If changes to your responses on this disclosure form occur during the year, please submit an updated disclosure form through Cayuse within 10 business days of the change.**
3. Please note the form contains three parts. All employees must complete parts I and II and III.
4. After completing the primary questions, you will finalize completion by acknowledging your responses via electronic signature at the end of the questionnaire.

Part I: General Questions

1. Do you or any Family, or Household Member have an ownership or other financial interest, or an employment, management, representative or fiduciary role in an organization, or with an individual that: *
 - (a) conducts or expects in the coming year to conduct business of any kind and/or sponsor a research program at Teachers College, and/or
 - (b) is a competitor of or otherwise adverse to Teachers College?
 - a. If question 1 is answered affirmatively, trigger question section will appear **General: Fiduciary Roles with a TC Partner**
2. Do (or did) you have a Family or Household Member who is a Trustee or employee of Teachers College during the reporting period? *
 - a. If question 2 is answered affirmatively, trigger question section will appear **General: Family/Household Relationships with TC**
3. Do (or did) you have an employment relationship, contractual or business relationship (outside of Teachers College) with any employee or Trustee of Teachers College during the reporting period?
 - a. If question 3 is answered affirmatively, trigger question section will appear **General: Employment Relationships with TC Personnel**
4. Have you: *
 - (a) Had any paid or unpaid employment or provided any services for any person or entity other than Teachers College during the reporting period, and/or
 - (b) Do (or did) you hold a management or fiduciary role in any entity other than Teachers College?

This includes but is not limited to compensated or uncompensated service as an employee, owner, independent contractor, consultant, officer, trustee or director, supervisor, manager, or principal of an entity (or business) other than Teachers College.

- a. If question 4 is answered affirmatively, trigger question section will appear **General:**
Employment Relationships Outside TC

5. Do (or did) you and any Trustee, or employee of Teachers College share ownership of a business or entrepreneurial endeavor in which you and the other(s) owned an aggregate of 35% or more during the reporting period? *

Ownership means voting power in a corporation or other company, profits interest in a partnership, or beneficial interest in a trust.

- a. If question 5 is answered affirmatively, trigger question section will appear **General: Business Relationship with TC Personnel**

6. Do you or any Family, or Household Member participate in any activities outside of Teachers College that involve one or more Teachers College students? *

e.g., Do you or a Family or Household Member have a business relationship with a student outside of Teachers College?

- a. If question 6 is answered affirmatively, trigger question section will appear **General: Student Interactions**

7. Have you or any Family or Household Member solicited or accepted compensation, stipend, cash, salary, honoraria, in-kind resources, appointments, gifts, favors or hospitality of any kind from any entity or person who: *
- (a) Is a Teachers College Vendor (see definition above) or prospective vendor.
 - (b) Is a research sponsor or prospective research sponsor at Teachers College.

Do not include promotional items of nominal value (estimated at less than \$50.00) or ordinary business courtesies (e.g., acceptance of a meal which is not lavish or excessive).

- a. If question 7 is answered affirmatively, trigger question section will appear **General:**
Remuneration from TC vendor or sponsor

Part II: International Activities

1. In the last twelve months, have you held or do you hold current or pending academic, professional, or institutional appointments at foreign governments, instrumentalities, or entities, whether or not remuneration is received, and whether full-time, part-time, or voluntary?

- a. If question 1 is answered affirmatively, trigger question section will appear **Foreign Influence:**
Foreign Appointments

2. In the last twelve months, have you submitted any applications for sponsored programs to a Foreign Entity, including Foreign Government Talent Recruitment Programs, that were not routed through the Office of Sponsored Programs?

- a. If question 2 is answered affirmatively, trigger question section will appear **Foreign Influence:**
Programs Sponsored by Foreign Entities

3. To the best of your knowledge, in the last twelve months, have you hosted or are you hosting, or planning to host, postdoctoral scholars, students, or visiting scholars who are supported by foreign governments, or instrumentalities, or entities?

- a. If question 3 is answered affirmatively, trigger question section will appear **Foreign Influence: Students, Postdocs, or Visiting Scholars**
- 4. Have you traveled in the past 12 months, or do you plan to travel during the current year where the travel was or will be supported/paid by foreign governments, instrumentalities, or entities, to perform research or other activities with an associated time commitment?
 - a. If question 4 is answered affirmatively, trigger question section will appear **Foreign Influence: Travel Sponsored by Foreign Entities**

Part III: Significant Financial Interest

All employees of Teachers College must disclose Significant Financial Interests (SFIs) relating to their Institutional Responsibilities for the last twelve months and must disclose new SFIs related to their Institutional Responsibilities within 10 business days of the change of circumstance that gives rise to the new SFI. Moreover, certain sponsors require disclosure of SFIs prior to proposal submission and upon acceptance of the award.

Definitions

- An “**Investigator**” is any individual acting as a project director or principal investigator and any other person, regardless of title or position, who is responsible for the design, conduct, or reporting of research, and the individual's spouse and dependent children.
- “**Institutional Responsibilities**” includes any and all of an Investigator's responsibilities on behalf of the college, such as research, teaching, institutional committee memberships and administrative responsibilities.
- “**Significant Financial Interest**” is 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) received from a single external entity in the 12 months prior to disclosure:
 - Remuneration exceeding \$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.
 - Any equity interest (e.g., stock, stock option or other interest) in a non-publicly traded entity, and equity interests in publicly traded entities exceeding a value of \$5,000*
 - Intellectual property interests exceeding \$5,000*
 - Sponsored or reimbursed travel

Exclusions

It is not necessary to disclose the following:

- Remuneration, intellectual property interests, or equity in publicly traded entities that aggregate to less than \$5,000 from a single entity in the previous 12 months.
- Remuneration for sponsored or reimbursed travel less than \$5,000 received for lectures, seminars, teaching engagements, or service on advisory committees or review panels relating to federal, state, or local government agencies, 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.
- Unlicensed intellectual property that does not generate income or is administered through an Investigator's home educational institution.
- Equity interests in publicly and non-publicly traded entities in the form of stock ownership through personal retirement accounts and mutual funds, as long as the investigator does not directly control the investment decisions made in these vehicles.

For questions 1 – 4, disclose all SFIs that relate to the Investigator's Institutional Responsibilities for the reporting period:

1. Have you, your spouse/domestic partner, or dependent children received remuneration from a publicly traded entity related to your Institutional Responsibilities that, when aggregated, totals more than \$5,000 within the reporting period?
 - a. If question 1 is answered affirmatively, trigger question section will appear **SFI: Remuneration Over \$5,000**
2. Do (or did) you, your spouse/domestic partner, or dependent children hold any equity (e.g., stock, stock option, or other ownership interest) in non-publicly traded entities related to your Institutional Responsibilities, or equity valued at more than \$5,000 in a publicly traded entity?
 - a. If question 2 is answered affirmatively, trigger question section will appear **SFI: Equity & Stocks**
3. Do (or did) you, your spouse/domestic partner, or dependent children have any intellectual property interests relative to which you receive income that exceeded \$5,000 during the reporting period?
 - a. If question 3 is answered affirmatively, trigger question section will appear **SFI: Intellectual Property**
4. Have you received sponsored or reimbursed travel from an entity besides Teachers College related to your Institutional Responsibilities during the reporting period? *
Please note there is no monetary threshold for this question.
 - a. If question 4 is answered affirmatively, trigger question section will appear **SFI: Externally Funded Travel**

Certification

Certification and Commitment to Report any Changed Circumstances

I certify that I have read and understand the Conflicts of Interest and Commitment Policy and The Academic and Research Conflicts of Interest Policy, and understand my responsibilities under these policies.

I recognize that as an employee of Teachers College, it is my obligation to:

- Act in a manner that promotes the best interests of Teachers College.
- Avoid conflicts of interest when making decisions and taking actions on behalf of Teachers College.
- Abstain from any participation in any actual, perceived, or possible conflict of interest or conflict of commitment until Teachers College can determine whether a conflict exists and how that conflict shall be addressed.
- Acknowledge my continuing obligation to disclose any actual or potential conflict.
- Submit a new Disclosure Form within ten (10) business days of an actual or anticipated change in my outside activities or financial interests, which is inconsistent with the statements in this form.
- If I am to participate in any funded project, I will certify that there are no changes to the information described in this Disclosure Statement or submit a revised form disclosing all such changes when the grant or contract proposal for such project is submitted.