



Financial Conflict of Interest in Research Disclosure form

In accordance with federal law and regulations established by federal agencies (HHS, NSF, etc.), this policy aims to ensure the objectivity and transparency of research funded by these agencies by requiring FCOI disclosures by affected researchers. If financial conflicts are identified that may affect the objectivity of the proposed research, they must be managed, reduced, or eliminated before the research can be approved for implementation at SSU. Affected researchers must submit this form at the time of proposal and annually thereafter, if funded.

Name: _____ Department: _____

Project Title: _____

Name of the Principal Investigator: _____ Project dates: _____ to _____

What is your role on this project? (Choose one)

- PI/PD
 - CO-PI
 - SENIOR/KEY PERSONEL
 - CONSULTANT
- OTHER (explain) _____

Sponsor: _____

Type of Disclosure: New Proposal Annual Reporting for Existing Award

For the purpose of this disclosure, Institutional Responsibilities mean an investigator’s professional responsibilities on behalf of SSU which may include activities such as research, research consultation, teaching, professional practices, institutional committee memberships, and service on panels such as an Institutional Review Board, etc.

1. Publicly Traded Entity (*Income and Equity Interests*)

Have you, your spouse or registered domestic partner, and/or dependent children received income or payment for services in the past 12 months or own equity interest in any publicly traded entity related to your institutional responsibilities exceeding \$5,000 when aggregated? This does not include interests in mutual funds and retirement funds in which you do not directly control investment decisions.

YES NO

2. Non-Publicly Traded Entity (*Income*)

Have you, your spouse or registered domestic partner, and/or dependent children received income or other payment for services, in the past 12 months, exceeding \$5,000, when aggregated, from any non-publicly traded entity? This does not include payment from SSU, or income from seminars, lectures, or teaching engagements sponsored by a U.S. federal, state, or local government agency, a U.S. institution of higher education or an affiliated research institute, an academic teaching hospital, or a medical center.

YES NO

3. Intellectual Property Rights and Interests

Have you, your spouse or registered domestic partner, and/or dependent children received payments, in the past 12 months, for any intellectual property rights and interests (e.g. patents, copyrights, assigned or licensed to a party other than SSU) exceeding \$5,000 related to your institutional responsibilities?

YES NO

4. Travel Reimbursement/Sponsorship

Have you received travel reimbursement or been sponsored for travel (i.e. travel expenses paid on behalf of investigator and not reimbursed to investigator) in excess of \$5,000 per entity in the 12 months prior to disclosure, by any entity related to your institutional responsibilities? This does not include travel sponsored or reimbursed by a U.S. federal, state, or local government agency, a U.S. institution of higher education or an affiliated research institute, an academic reaching hospital, or a medical center.

YES NO

5. Acknowledgment and Certification

I certify under penalty of perjury that this is a complete disclosure of all my significant financial interests related to my institutional responsibilities and I have used all reasonable diligence in preparing this Financial Interest Disclosure, and to the best of my knowledge it is true and complete. I also acknowledge that by signing my name below that it is my responsibility to disclose, within 30 days, any new significant financial interests obtained during the term of the above proposed project.

Signature of the Investigator: _____ Date: _____

If you have answered YES to any of the above, please complete FCOI Part - B. If all your responses are NO, please sign and date above and submit to Office of Sponsored Research Administration

