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# Office of Sponsored Programs and Foundation Relations

# GENERAL FINANCIAL CONFLICT OF INTEREST DISCLOSURE FORM FOR GRANTS

# [ ] INITIAL Disclosure [ ] UPDATE

# *Established March 2014*

# *Last updated July 2021*

# *Next Review Fall 2023*

***The individual submitting this form must have an up-to-date certificate from CITI for successfully completing the Faculty COI training grants course. See OSPFR staff for instructions on how to access this online training.***

The Principal Investigator/Project Director and any key personnel must complete an updated disclosure form before submitting a grant proposal, and then resubmit at least annually during the grant period, or within 30 days of discovering or acquiring a new significant financial interest.

**Submit your completed form to the Office of Sponsored Programs and Foundation Relations.**

|  |  |
| --- | --- |
| Name:  | Department/School:  |
| Project Role: [ ]  PD/PI [ ] Co-PD/PI [ ] Senior/Key Personnel [ ] Consultant [ ] Subrecipient [ ] Other (explain):  |
| Project Lead PI/PD (if not identified above):  | Project Period:  |
| Project/Grant Title:  |
| Agency/Sponsor’s Name:  | Agency/Sponsor Award Number: |

**Financial Interest** means anything of monetary value received or held by an Investigator or an Investigator’s Family, whether or not the value is readily ascertainable, including, but not limited to: salary or other payments for services (e.g., consulting fees, honoraria, or paid authorships for other than scholarly works); any equity interests (e.g., stocks, stock options, or other ownership interests); and intellectual property rights and interests (e.g., patents, trademarks, service marks, and copyrights), upon receipt of royalties or other income related to such intellectual property rights and interests.

# Financial Interest does NOT include:

# Salary, royalties or other remuneration from the University; or

# Income from seminars, lectures or teaching engagements sponsored by public or non-profit entities; or

# Income from service on advisory committees or review panels for public or nonprofit entities; or

# Equity interests or income from investment vehicles, such as mutual funds and retirement accounts, so long as the Investigator does not directly control the investment decisions.

**Significant Financial Interest (SFI)** is anything of monetary value over $100 that would reasonably appear to affect the sponsored project or its results, including, but not limited to:

# Salary or other payments for services from an outside entity (*e.g.*, consulting fees or honoraria). *This does not include grant funds paid to you through St. John Fisher University.*

# Equity interests (*e.g.*, stocks, stock options or other ownership interests), *valued, as of the date of disclosure combined with any remuneration in the past 12 months*.

# Intellectual property rights (*e.g.*, patents, copyrights, trademarks, trade secrets, and/or any royalties from such rights), *valued, when aggregated for the Investigator (including his/her spouse and dependent children).*

# A fiduciary or management role (*e.g.*, as a board member, director, officer, partner, trustee, employee or consultant) for a sponsor, vendor or (sub)contractor related to the sponsored project.

**Financial Conflict of Interest (FCOI)** means a Significant Financial Interest (or, where the provost requires disclosure of other Financial Interests, a Financial Interest) that the Institution reasonably determines could directly and significantly affect the design, conduct or reporting of sponsored projects.

# Do you, your spouse, domestic partner and/or dependent child(ren) have a Significant Financial Interest in any business or legal entity that would reasonably appear to be affected by this project or its results?

# [ ] YES [ ] NO

# If you checked YES above:

# Check all that apply AND provide the following information in a sealed envelope to the Office of Sponsored Programs and Foundation Relations: The name of the entity, the nature of the interest, its value, and any relevant documentation. Mark the envelope with your name and the word *CONFIDENTIAL*.

# [ ] Salary or other payment for services (e.g., consulting fees or honoraria)

[ ] Equity interests (e.g., stocks, stock options, or other ownership interests)

[ ] Intellectual property rights (e.g., patents, copyrights, trademarks, trade secrets, and royalties from such rights)

[ ] Other significant financial interest that would reasonably appear to affect or be affected by the results of the research or educational activities funded or proposed for funding

# [ ] A fiduciary or management role for a sponsor, vendor or (sub)contractor related to the sponsored research.

**CERTIFICATION BY INVESTIGATOR:**

1. I have read and understood the St. John Fisher University General Financial Conflict of Interest Policy for Grants.
2. To the best of my knowledge, I have made all required financial disclosures.
3. I agree to update this disclosure form during the award period AND within 30 days if I acquire new significant financial interests that must be reported.
4. I agree to comply with any conditions or restrictions imposed by St. John Fisher University to manage, reduce or eliminate actual or potential conflicts of interest in connection with this grant. I understand that if I fail to comply, I understand that the University may decline the grant award or terminate the sponsored project or program.
5. *If relevant:* I have been provided, as appropriate, with a copy of Chapter IX(A), Award and Administration Guidelines (National Science Foundation) and agree to abide by the disclosure responsibilities of an Investigator as defined in the guidelines and regulations.

**Signature of Investigator or Key Personnel \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

# CERTIFICATION BY PRINCIPAL INVESTIGATOR/PROJECT DIRECTOR ONLY:

The following people (or roles) meet the definition of Investigator or Key Personnel for the above project, and I certify that they all will comply with the disclosure requirements of the St. John Fisher University General Financial Conflict of Interest Policy for Grants.

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| --- |
| List names or mark N/A: |

**Signature of Principal Investigator \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**