

# SIU Southern Illinois University

CARBONDALE

## Financial Interest on Grants Disclosure Statement

**This form must be completed prior to submission of your proposal for external research support and annually throughout the life of your funded project. An updated form must be submitted if any answers to the disclosure questions change, or to include information that was not disclosed previously. Updated information must be disclosed within 30 days of discovery.**

This form must be completed for research projects where the funding agency requires a disclosure by all investigators, which includes all key personnel and any other staff member who is responsible for the design, conduct, or reporting of project activities. The form must also be completed at any time a non-investigator role is changed to that of an investigator or if new investigators are added to the project. Please note that you may be asked for more specific information.

Initial Disclosure       Annual/Updated Disclosure ( Proposal/BP Number \_\_\_\_\_ )

Name: \_\_\_\_\_ Department: \_\_\_\_\_

College: \_\_\_\_\_ Email: \_\_\_\_\_

Title/Position: \_\_\_\_\_ Campus Phone: \_\_\_\_\_

Lead SIUC Principal Investigator on Project: \_\_\_\_\_

Funding Agency: \_\_\_\_\_ Proposal Deadline: \_\_\_\_\_

Proposal Title:

This Financial Interest on Grants Disclosure Statement is to be completed in compliance with [SIU's Financial Conflict of Interest on Federal Grants Policy](#). Please note, answering "yes" to any of the following questions does not mean the financial interest is inappropriate or improper, it means only that disclosure and evaluation, and in some cases, approval and oversight, are required. All thresholds listed below are an aggregate for the investigator, his or her spouse or domestic partner (as evidenced by registration or certification as a same-sex partner), and dependent children. These questions apply to companies that could reasonably appear to be related to the proposed research.

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1. Financial Interest in Publicly Traded Companies       YES     NO

Over the past 12 months, have you received income or obtained other financial interest in excess of \$5000 from a publicly traded company that is in any way related to or that might be affected by your proposed research activities? Examples of income include salary, consulting fees, honoraria, paid authorship, stock, stock options, or other ownership interests (based on public prices or other reasonable measures of fair market value). Excluded income includes salary, royalties, or other

remuneration paid by SIU while an SIU employee; income from mutual funds not managed by the investigator, and income from lectures, workshops, panels, etc., for universities and state, local, or federal agencies.

2. Financial Income from Non-publicly Traded Companies  YES  NO

Over the past 12 months, have you receiving income in excess of \$5000 from a non-publicly traded company that is in any way related to or that might be affected by your proposed research activities? Examples of income include salary, consulting fees, honoraria, paid authorship.

3. Equity Interests in Non-publicly Traded Companies  YES  NO

Over the past 12 months, have you held any equity interest in a non-publicly traded company that is in any way related to or that might be affected by your proposed research activities?

4. Intellectual Property  YES  NO

Have you received any income from intellectual property rights and interests (e.g. from patents, copyrights, or royalty agreements) from any companies in any way related to or that might be affected by your proposed research?

5. SBIR/STTR Phase II  YES  NO

Have you held any equity interest in a SBIR/STTR phase II funded company that is in any way related to or that might be affected by your proposed research activities?

6. Foreign Involvement  YES  NO

Have you received any remuneration, gift, or in-kind support, regardless of amount, from a foreign institution of higher education, foreign academic teaching hospital, and/or the government of a foreign country (which includes local, provincial, or equivalent government of another country)?

7. Foreign Talent Program  YES  NO

Have you negotiated participation or participated in a Foreign Talent Program by a foreign institution of higher education, foreign academic teaching hospital, and/or the government, at any level, of a foreign country?

Foreign Talent Program is defined as any program sponsored by, or benefit offered (whether in the form of remuneration or in-kind support) by a foreign researcher, foreign government (at any level), foreign institution, or foreign government-controlled entity for the purpose of facilitating the transfer or acquisition of expertise, technical know-how, research results/data/designs, or technology. These programs may involve entering into a contract with a foreign institution or entity and may be accompanied by an honorary, adjunct, or temporary appointment.

If you answered Yes to either Question 6 or 7, please provide additional details, including identifying the foreign entity and describing your relationship to it in the space provided on the next page. Include the approximate value of any remuneration received, whether cash or in-kind.

Additional detail regarding Foreign Involvement or participation in a Foreign Talent Program:

8. Paid Travel by Companies

YES  NO

Have you received any travel that has been paid for or reimbursed by any entity other than a Federal, state or local government, an institution of higher education, an academic teaching hospital, a medical center or a research institute associated with an institution of higher education?

If you have answered “yes” to Question #8, please provide the following information before submission. Please note that you may be asked for more specific information.

Purpose of the trip: \_\_\_\_\_

\_\_\_\_\_

Destination: \_\_\_\_\_

Duration: \_\_\_\_\_

Who sponsored this travel?:

\_\_\_\_\_

\_\_\_\_\_

Investigator Statement:

I have read and understood [SIU's Financial Conflict of Interest on Federal Grants Policy](#) and have made all required financial interest disclosures; will submit a proposal for a Conflict of Interest Management Plan if necessary, and will comply with any conditions or restrictions imposed by the University to eliminate, reduce, or manage conflicts of interest regarding my research. I understand that failure to disclose a financial interest could result in loss of funding, termination, and/or prosecution by law.

I understand that this Disclosure is required to obtain funding from the U.S. Government.

I, \_\_\_\_\_, certify to the best of my knowledge and belief that the information contained in this Disclosure Statement is true, complete, and accurate. I understand that any false, fictitious, or fraudulent information, misrepresentations, half-truths, or omissions of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims, or otherwise. (18 U.S.C. §§ 1001 and 287, and 31 U.S.C. 3729-3730 and 3801-3812). I further understand and agree that (1) the statements and representations made herein are material to U.S. Government’s funding decision, and (2) I have a responsibility to update the disclosures during the period of performance of the award should circumstances change which impact the responses provided above.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**FOR OSPA PRE-AWARDS USE ONLY**

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Date Received: \_\_\_\_\_

Pend # \_\_\_\_\_ Forwarded to Research Compliance: \_\_\_\_\_

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**FOR RESEARCH COMPLIANCE USE ONLY**

Approved \_\_\_\_\_  
Research Compliance Director Signature \_\_\_\_\_ Date \_\_\_\_\_

Forwarded to Dean for review/approval

Approved with mitigation (see comments)

Dean signature (if required) \_\_\_\_\_ Date \_\_\_\_\_

VCR signature (if required) \_\_\_\_\_ Date \_\_\_\_\_

Comments