

OFFICE OF SPONSORED PROJECTS AND GRANTS ADMINISTRATION
FINANCIAL CONFLICT OF INTEREST FORM 1

Incomplete FCOI Form 1 with no FCOI Certificate will be sent back to the sender.

FULL NAME: \_\_\_\_\_

GRANT TITLE: \_\_\_\_\_

PART A: REQUIRED TRAINING

LINK: FCOI CERTIFICATE

I certify taking the required training and provided a FCOI Certificate copy to the SPGA office for this & each grant project.

PART B: SIGNIFICANT FINANCIAL INTEREST

- 1. Have/will you receive income... YES NO
2. Have/will you receive income... YES NO
3. Do/will you possess an equity/ managerial interest... YES NO
4. Do you receive income from any Intellectual property rights... YES NO
5. Have/will you receive(d) reimbursed or sponsored travel... YES NO

If you have answered YES to any of the questions in Part B, please provide a list of all entities in the box below and complete, sign, and return an additional form, Financial Interest Disclosure Form 2, for each significant financial interest along with this form to the Office of Sponsored Projects and Grnats Administration for further review.

Entities/ Intellectual Property: [Empty box for listing entities]

I certify, to the best of my knowledge and belief, that the above questions have been answered correctly and that I will update and revise the answers as required.

Signature \_\_\_\_\_

Date \_\_\_\_\_

1 You means you, your spouse, and/or dependent children.

2 Significant Financial Interest (SFI) means a financial interest of a value exceeding a Defined Threshold\* that is reasonably related to your Institutional Responsibilities \*\* and/or could reasonably affect or be affected by the outcome of the sponsored project...

- Salary, royalties, or other remuneration paid by the University to University Personnel (UP) if UP are currently employed or otherwise appointed by the University, including intellectual property rights assigned to the University and agreements to share in royalties related to such rights;
• Income from investment vehicles, such as mutual funds and retirement accounts, as long as UP do not directly control the investment decisions made in these vehicles;
• Income from seminars, lectures, or teaching engagements sponsored by a Federal, state, or local government agency (Government Agency), an Institution of higher education as defined in 20 U.S.C. 1001(a) (Higher Education Institution), an academic teaching hospital, a medical center, or a research institute that is affiliated with a Higher Education Institution;
• Income from service on advisory committees or review panels for a Government Agency, a Higher Education Institution, an academic teaching hospital, a medical center, or a research institute that is affiliated with a Higher Education Institution;
• Travel reimbursed or sponsored by a Government Agency, a Higher Education Institution, an academic teaching hospital, a medical center, or a research institute that is affiliated with a Higher Education Institution; and
• Grants and contracts administered through the University.

\*Defined Threshold means:

- \$5000 aggregate amount, on an entity-by-entity basis, for each of the following categories: 1) income from and equity in a publicly traded entity; 2) income from a non-publicly traded entity; 3) income from any intellectual property rights and interests; and 4) reimbursed or sponsored travel.
• \$0 aggregate amount, on an entity-by-entity basis, for: 1) equity in a non-publicly traded entity; 2) income from managerial interest.

\*\* Institutional Responsibilities means University Personnel's professional responsibilities on behalf of the University, which may include for example: current or proposed activities such as research, research consultation, research-related student supervision, teaching, professional practice, institutional committee memberships, and service on panels such as Institutional Review Boards.

[The FCOI is a Federal & Oregon Tech requirement for compliance]