

Concordia University
Disclosure of Outside Activities and Significant Financial Interests
(For Federally-Funded Grant Projects)

Name _____ Department/Unit _____

Signature _____ Date _____

All faculty and academic staff at Concordia University must disclose certain outside activities, as described in PHS regulations on Responsibility of Applicants for Promoting Objectivity in Research for which PHS Funding is Sought (42 C.F.R. Part 50, Subpart F) and Responsible Prospective Contractors (45 C.F.R. Part 94). These regulations promote objectivity in research by establishing standards that provide a reasonable expectation that the design, conduct, and reporting of research funded under PHS grants or cooperative agreements will be free from bias resulting from investigator financial conflicts of interest. In addition, those who plan to participate in, or are participating in, Public Health Service (PHS)-funded research must fully disclose potential financial conflicts of interest and successfully complete financial conflict of interest training. This form includes all of the disclosures for both of these requirements.

This form must be submitted to your department chair or unit director no later than at the time of application for PHS funding, within 30 days of discovering or acquiring a new significant financial interest or outside activity, and at least annually during the period of award. The original will be maintained in the grant file and copies sent to the PI, Department Chair, Dean, and Senior Vice President of Academics. Please read the Definitions for information on which types of financial interests must be reported.

- I have read the Definitions and do not have any significant financial interests related to my institutional responsibilities or outside activities that require disclosure. (If you check this box, forward the signed form to your chair/director.)

A. Financial Interests

I and/or my immediate family hold the following interests that relate to my institutional responsibilities:

- Remuneration received from a single publicly traded entity in the twelve months preceding this disclosure and/or any equity interest held in the same entity at the date of the disclosure.

Name of Entity	Nature of Interest	Time Spent (days)	Check if:	
			More than \$5,000	Held 10+% of Equity

- Remuneration received from a single non-publicly traded entity in the twelve months preceding this disclosure and/or any equity interest held in the same entity at the date of the disclosure.

Name of Entity	Nature of Interest	Time Spent (days)	Check if:	
			More than \$5,000	Held 10+% of Equity

- Intellectual property rights (e.g., patents, copyrights) from which royalties or other income was received during the period covered by this disclosure.

Name of rights: _____

- Travel paid for by an external party.

Sponsor/Organizer	Purpose of Trip	Destination	Duration

B. Offices and Directorships

Identify below any business or other organization related to your field of academic interest or professional specialization for which you or your immediate family served as an officer, director, or trustee. No identification need be made for professional societies, trusts, or charitable, religious, social, community service, or political organizations.

Name of Business/Organization	City and State	Position Held

Institutional Signatures

Department Chair/Unit Director

- I have reviewed the information itemized above and to the best of my knowledge find no potential conflict of interest.
- I have reviewed the information itemized above and find a potential for conflict of interest.

Signature _____ Date _____

Dean

- I have reviewed the information itemized above and to the best of my knowledge find no potential conflict of interest.
- I have reviewed the information itemized above and find a potential for conflict of interest.

Signature _____ Date _____

Senior Vice President of Academics

- I have reviewed the information itemized above and to the best of my knowledge find no potential conflict of interest.
- I have reviewed the information itemized above and find a potential for conflict of interest.

Signature _____ Date _____

What is a Financial Conflict of Interest?

Definitions

Financial Interest: Any interest that will, could, or is intended to lead to a profit or an ascertainable increase in the income or net worth of an Employee and/or a Dependent. Such a profit or increase in income or net worth could be realized through the receipt of anything of monetary or potential monetary value, including, but not limited to, payments of any kind (e.g., salary, consulting fees, honoraria, gifts, dividends, distributions, rent, paid authorship, etc.), Equity Interests, an increase in the value of real estate or Equity Interests, or Intellectual Property Rights.

Employee: Each employee of Concordia University, whether full-time or part-time, including, but not limited to, all executive officers, faculty and staff.

Dependent: An Employee's spouse, Domestic Partner or unemancipated child(ren), including step-children and adoptees, under the age of 18, or anyone who receives more than one-half of his or her financial support during a year from an Employee.

Domestic Partner: A same sex domestic partner of an Employee who is eligible for same sex domestic partner benefits under University policy.

Financial Conflict of Interest (FCOI): Situations where an Employee's Financial Interest (including an Investigator's Significant Financial Interest, where applicable) compromises, or could appear to compromise, his or her judgment or ability to carry out the Institutional Responsibilities associated with his or her appointment or employment. A Financial Conflict of Interest may take many forms, but in general arises when an Employee in a relationship with an outside person or organization is in a position to influence the University's business, research or decisions in ways that could lead directly or indirectly to financial gain for the Employee or the Employee's Dependents or could give an improper advantage to others to the detriment of the University.

When applied to an Investigator, Financial Conflicts of Interest occur in situations in which such Investigator's Financial Interest (including Significant Financial Interest) compromises, or could appear to compromise, his or her professional judgment regarding the design, conduct, or reporting of research or if such Financial Interest could directly and significantly affect the design, conduct or reporting of research. The bias such conflicts may possibly impart affects collection, analysis, and interpretation of data, and also the hiring of staff, procurement of materials, sharing of results, choice of protocol, involvement of human participants, and the use of statistical methods.

Financial Conflicts of Interest also include the use of University facilities, personnel, equipment, IT Resources, confidential information, or other resources for purposes that could lead directly or indirectly to financial gain for the Employee and/or his or her Dependents.