

USI Investigator - Significant Financial Interest Determination Form

University of Southern Indiana

The purpose of this form is for investigators applying for extramural grant funding or externally sponsored projects or currently serving as investigator on a current award to disclose any significant financial interest (defined in 1 below and [University Handbook section F.28](#)) that may present an actual or potential conflict of interest in relation to externally sponsored projects.

Name: _____

Email: _____

Department/Unit: _____

Phone: _____

Please answer the questions below by marking yes or no in the box to the right.

- If you answer **“Yes” for any question**, please complete a **USI Significant Financial Interest Disclosure Form for each external interest**. [See note b below.]
- If you answer **“No”** to all questions, please sign below and submit the form to the USI Office of Sponsored Projects and Research (OSPR) at sponsored.projects@usi.edu.

Please mark YES or NO for each of the following:	Yes	No
1. During the past twelve (12) months or the next twelve (12) months , did you or will you, your spouse, registered domestic partner, or your dependent children receive aggregated compensation – monetary or otherwise (e.g. consulting fees, honoraria, speaking fees, stipends, dividends, ownership interest, equity interest, stock, stock options and gifts)—exceeding \$10,000 (<u>\$5,000</u> if you are applying for a grant from the <u>Department of Health and Human Services</u>) in value from an external (non-USI) entity operating in areas relating to your USI responsibilities ? [See notes a, b below.]		
2. Did you or will you, your spouse, registered domestic partner, or your dependent children hold at some point during the past twelve (12) months or the next twelve (12) months , an ownership interest in an external entity operating in areas relating to your USI responsibilities [see notes a, b below] and which, when aggregated together for all of you, represent either (i) an equity interest that exceeds \$10,000 in value (<u>\$5,000</u> if you are applying for a grant from the <u>Department of Health and Human Services</u>) or 5% ownership of a public entity OR (ii) any ownership of a non-public entity ?		
3. During the past twelve (12) months or the next twelve (12) months , did you participate in or will you plan to participate in any travel that was reimbursed or sponsored by an external (non-USI) entity operating in areas relating to your USI responsibilities ? [See notes a, b below.] Do not report travel reimbursed or sponsored by a federal, state, or local government agency, an Institution of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education.		
4. During the past twelve (12) months or the next twelve (12) months , did you or will you, your spouse, registered domestic partner, or your dependent children receive income related to any interests or rights in intellectual property related to your USI responsibilities ? [See notes a, b below.]		

I hereby affirm that the above information and the information in the attached statements (if any) is true to the best of my knowledge. I also understand that I will update disclosures annually during the award period and within thirty (30) days of any new reportable significant financial interests that arise or if my circumstances change.

Signature _____

Date: _____

Notes:

- a. Your USI responsibilities include, but are not limited to, your involvement as a Financial Manager or Primary/Principal Investigator, in the selection of any vendor, contractor, subcontractor, or consultant. Your involvement in the selection of any such party who is a relative must be disclosed.
- b. Completion of this form and the associated USI Significant Financial Interest Disclosure Form, when applicable, to OSPR assists the University in meeting its federal compliance responsibilities under 42 CFR 50 Subpart F. Disclosures provided here will also assist University employees in meeting the following requirements under Indiana law:

Indiana Code 35-44.1-1-4 states that a public servant commits a conflict of interest, a Level 6 felony, if the public servant knowingly or intentionally has a pecuniary [financial] interest in, or derives a profit from, a contract or purchase connected with an action by the governmental entity served by the public servant.

It is not an offense under Indiana Code if the public servant makes a full and truthful disclosure, in writing, to the governmental entity of a conflict or potential conflict. For more information on the policies and process, please see University Handbook [section F.28 Investigator Significant Financial Interest Disclosure Policy](#) and [section F.38 Conflicts of Interest: Compliance Disclosure Requirements](#).