

University of Oregon  
**Financial Conflict of Interest Annual Disclosure Form  
for Investigators in Externally Sponsored Programs**  
(ORCR Form #1.0)

This form is confidential and may be reviewed only by the appropriate Department Head/Director/Dean and others as designated in the UO Financial Conflict of Interest policy. Originals are submitted to the Office for Responsible Conduct of Research. Copies may be made only by the signer and by the Office for Responsible Conduct of Research and originals and copies maintained only in their respective filing systems.

**What is a “Financial Conflict of Interest”?**

A financial conflict of interest occurs when there is a divergence between an individual’s private interests and his or her professional obligations to the University such that an independent observer might reasonably question whether the individual’s professional actions or decisions are determined by considerations of personal gain. Potential and actual financial conflicts of interest depend on the situation and both must be managed accordingly. The identification of these financial interests does not necessarily imply any improper activities or motives on the part of the individual.

**What is the purpose of this form?**

This form seeks to identify financial conflicts of interest that must be managed:

- to help assure the ethical conduct of research and sponsored programs,
- to address federal regulations governing externally-sponsored programs, and
- to help protect both the institution and investigators in limiting their liabilities in the conduct of university-affiliated activities.

**Who should complete this form?**

All “Investigators” listed by the Principal Investigator on the Electronic Proposal Clearance System (E-PCS) as responsible for the design, conduct, or reporting of externally funded research or other externally funded program must submit a disclosure form.

**When do I complete this form?**

Annual disclosures are due May 1<sup>st</sup> of each year and are based on your data from the prior calendar year (January-December). The disclosure date provides individuals the ability to use their annual income tax return information, if needed, to complete this form. A current disclosure must be on file with the Office for Responsible Conduct of Research prior to the submission of proposals for external funding. In addition, if there is a material change to the information provided (an acquisition of a significant financial interest) a new disclosure form must be submitted within 30 days of that change.

**Where can I find more information?**

For more information about the UO Financial Conflict of Interest policy, forms, and disclosure process, visit:  
<http://orcr.uoregon.edu>

**(Continue to Reverse Side)**

**PLEASE PRINT**

<b>Name:</b>	<b>Disclosure Year:</b> This is the previous calendar (January-December) year.
<b>Rank/Title:</b>	<b>UO ID #:</b>
<b>Email:</b>	<b>Campus Phone:</b>

**Question:** During the last calendar year (January through December), did you, your spouse, domestic partner and/or dependent children, alone or in combination, have significant financial interest in an entity that:

- sponsors your research or your program,
- has made or pledged a gift to the University of Oregon that benefits your research or sponsored program,
- has products, services, or research interests that could reasonably appear to be affected by your research or sponsored program,
- sells goods or services to the University that will be used in your research or sponsored program, or
- has another involvement in your research or sponsored program (such as a consulting agreement)?

A significant financial interest involves:

- (a) receiving compensation during the year over \$10,000
- or**
- (b) having an equity interest over \$10,000
- or**
- (c) having an ownership interest over five percent (5%).

(This does not include 'indirect' equity interest or ownership through mutual funds.)

\_\_\_\_\_ **NO** Your disclosure is complete. Please sign and submit this form.

\_\_\_\_\_ **YES** Sign this form *and* complete a FCOI Disclosure Attachment (ORCR Form #2.0) for *each* external entity in which there is a significant financial interest and submit all forms together. The FCOI Disclosure Attachment (ORCR Form #2.0) may be found at <http://orcr.uoregon.edu>

**Please sign and submit to:**

UO Office for Responsible Conduct of Research, 1600 Millrace Drive, Suite 105, 5215 University of Oregon, Eugene, OR 97403-5215 U.S.A.

I agree to abide by University of Oregon's Financial Conflict of Interest policy. In submitting this form and disclosure attachments, if required, I certify that the information provided is true to the best of my knowledge. I supply this information for confidential review by University of Oregon, and for such other limited purposes as are required by law, regulation, or contract. I do not authorize release of any of it for any other purpose. I understand and agree that if there is a material change (an acquisition of a significant financial interest) to this information, I must submit a new disclosure and attachment within 30 days of that change.

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

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