

## **Financial Conflict of Interest Annual Disclosure Form 1<sup>1</sup>**

Portland State University recognizes that relationships with external entities can be useful in many ways. PSU encourages these relationships as they enhance personal competency and benefit the community and the institution. However, these relationships can create the potential for conflict of interest where an individual's financial or personal considerations may affect or appear to affect their PSU activities related to externally sponsored programs. The identification of real or apparent conflict of interest does not necessarily imply any improper activities or motives on the part of the individual.

### *Instructions for Form I*

#### **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.

#### **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?**

Any Principal Investigator (PI) completing a Proposal Internal Approval Form (PIAF) and any senior research staff identified on the PIAF. Senior research staff is defined as any individual responsible for the design, conduct, or reporting of externally funded research or other externally funded program.

#### **When do I complete this form?**

Beginning July 1, 2009, all PIs and any senior research staff identified by the PI on the PIAF will need to complete this form. Beginning in September 2009, all PIs and senior research staff on continuing sponsored projects will need to complete this form. Annually in September thereafter a new Annual Disclosure Form will need to be completed by PIs and senior research staff. If circumstances change a PI's or senior research staff's existing disclosure, a new form should be submitted.

#### **Where can I find more information?**

For more information about these forms or the process, please contact Cathleen Gal, Research Integrity Coordinator, at [cgal@pdx.edu](mailto:cgal@pdx.edu) or at (503) 725-4288.

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<sup>1</sup> Portions of this form have been adapted and used with permission from the University of Oregon.

**Financial Conflict of Interest Annual Disclosure  
Form 1**

Name: \_\_\_\_\_ Title/Rank: \_\_\_\_\_  
School/College: \_\_\_\_\_ Department/Other Unit: \_\_\_\_\_  
E-mail: \_\_\_\_\_ Phone: \_\_\_\_\_  
PSU ID Number: \_\_\_\_\_  
Disclosure Period: September 2008-September 2009

During the last year, did you, your spouse, domestic partner and/or dependent children, alone or in combination have a **significant financial interest** in an entity that:

- Sponsors your research or your 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 made or pledged a gift to the University / Foundation that supports your research or Sponsored program,
- Has another involvement in your research or sponsored program (such as a consulting agreement)?

A **significant financial interest** can be:

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

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

\_\_\_\_\_ NO, I have nothing to report.

*Checking NO indicates disclosure is complete. Please sign and submit this form to ORSP.*

\_\_\_\_\_ Yes, a detailed description of the nature and amount of all financial interests will be submitted to ORSP for each external entity in which there is a significant financial interest.

*Please sign this form, submit it and the Financial Details Disclosure Form to ORSP.*

**Investigator's Assurance**

I agree to abide by the University's Policy on Financial Conflict of Interest and that the above and attached information is true to the best of my knowledge. I agree:

- to provide any additional information requested ORSP
- to notify ORSP if there are any changes to this information
- to cooperate in the development and implementation of an appropriate Management Plan if required

Signed: \_\_\_\_\_ Date: \_\_\_\_\_