

## Disclosure Questions

WelcomeEmployeeFCOI TrainingDisclosureGuidanceDefinitions

### SIGNIFICANT FINANCIAL INTERESTS DISCLOSURE

When answering the following questions, "you" refers to the Investigator, spouse and dependent children. Therefore, all responses and thresholds referenced throughout are an aggregate for the Investigator, his or her spouse, and dependent children.

A [Significant Financial Interest](#) is anything of monetary value that reasonably appears to be related to the Investigator's [Institutional Responsibilities](#). Answering "yes" to any of the following questions does not mean the Significant Financial Interest is inappropriate or in conflict with your Institutional Responsibilities, it means only that disclosure and evaluation, and in some cases, approval and oversight, are required.

Additional Help -

- A complete description of bolded terms can be found on the Definitions tab.
- **Hovering the cursor** over the dotted, underlined question headings (i.e. [Monetary Payments](#)) will display additional information relating to individual questions.
- Refer to policy at [Conflict of Interest and Commitment for Principal Investigators and Senior Personnel on Sponsored Programs Policy](#)
- Go to the OSP website for the FCOI Frequently Asked Questions (FAQ) – [FCOIFAQs](#)
- Questions may be submitted to the Office of Sponsored Programs at [ospoff@syr.edu](mailto:ospoff@syr.edu) or the Office of the Vice President for Research at [vpr@syr.edu](mailto:vpr@syr.edu) at any time.

Print Disclosure

The guidance at the top of the disclosure page provides further information regarding the disclosure requirements and some navigation tips.

- Use the tabs at the top of the page to navigate from one page to the next. Do not use the "back" button in your browser.
- Use the hover over feature to find further guidance behind the terms identified with a dotted underline.
- The 'Apply' buttons will save the contents of the page and leave you on the screen.
- The 'OK' buttons will save the contents of the page and take you back a page.

There are seven questions that must be answered. They are listed below. If you have nothing to disclose, simply select the 'no' button and move on to the next question. When done, click the "complete" button. This will take you to the certification screen.

**1 Monetary Payments**

- No Have you received salary or other payment for services (e.g. consulting fees) from any entity other than Syracuse University which have exceeded in the previous twelve (12) months or are reasonably expected to exceed \$5,000 in the next twelve (12) months?
- Yes

**2 Equity Interest**

- No Do you have any equity interests (i.e. stocks or other forms of ownership) in a single entity in excess of \$5,000 in value, as determined through reference to public prices or other reasonable measures of fair market value, or constitutes more than a 5% ownership interest in a single entity?
- Yes

**3 Intellectual Property Rights**

- No Have you received income in the past twelve (12) months or expect to receive income in the next twelve (12) months from rights held in any form of intellectual property (including, but not limited to patents, copyrights and royalties) controlled by an entity other than Syracuse University?
- Yes

**4 Services**

- No Have you served as an officer, director, or in any other executive position in an outside business, whether or not remuneration is received for such service in the past twelve (12) months or expect to in the next twelve (12) months?
- Yes

**5 Reimbursed or Sponsored Travel**

- No Have you engaged in travel, for purposes related to your Institutional Responsibilities, which has been wholly or partially reimbursed or paid by an outside entity in the past twelve (12) months?
- Yes

**6 Other Forms of Payment**

- No Have you received any other form of payment or reimbursement in the past twelve (12) months or expect to receive in the next twelve (12) months from an outside entity, including but not limited to fee-splitting arrangements for referrals, goods (i.e. drug samples or equipment), paid authorship, or other investment/payment?
- Yes

[Details](#)**7 Gag Rules**

- No Do you have any outstanding agreements, regardless of current, past or future payment, that contain provisos restricting your ability to speak, publish or otherwise undertake activities contrary to an entity's interest?
- Yes

If you do have a disclosure to make, select yes and you will be directed to the detail screens. Those screens are displayed below.

**1 Monetary Payments**

No Have you received salary or other payment for services (e.g. consulting fees) from any entity other than Syracuse University which have exceeded in the previous twelve (12) months or are reasonably expected to exceed \$5,000 in the next twelve (12) months?

Yes

[Details](#)

**Monetary Payments**

Have you received salary or other payment for services (e.g. consulting fees) from any entity other than Syracuse University which have exceeded in the previous twelve (12) months or are reasonably expected to exceed \$5,000 in the next twelve (12) months?

**Monetary Payments** Find | View All First 1 of 1 Last

1. Monetary Payments Each Entity must have its own entry + -  
Click on + or - button to add or delete an entry

\*Entity Name

\*Nature of monetary payments (i.e. honorarium, consulting fees, etc.) (limit 256 characters)

Amount of payments (\$) previous 12 months Estimated payments (\$) next 12 months

(Enter to the nearest dollar. Example: 2345.88 as 2346)

Any known relationship between funded research and financial interests of paying entity?

\* denotes a required field Transaction Date  31

OK Cancel Apply

**Note:** If you have more than one entity to report, you must complete a page for each. To do so, click on the + at the top to get a new screen. Also, the box describing the “nature” is character limited. Any long explanations should be entered in the larger box at the bottom of the screen.

## 2 Equity Interest

- No** Do you have any equity interests (i.e. stocks or other forms of ownership) in a single entity in excess of \$5,000 in value, as determined through reference to public prices or other reasonable measures of fair market value, or constitutes more than a 5% ownership interest in a single entity?
- Yes**

### Equity Interests

Do you have any equity interests (i.e. stocks or other forms of ownership) in a single entity in excess of \$5,000 in value, as determined through reference to public prices or other reasonable measures of fair market value, or constitutes more than a 5% ownership interest in a single entity?

#### Equity Interests

Find | View All First 1 of 1 Last

#### 2. Equity Interest

Each Entity must have its own entry

Click on + or - button to add or delete an entry

\*Entity Name

\*Nature of equity interest (i.e., stock, non-stock equity, or other investment/payment) (limit 256 characters)

Equity Value (\$)

OR

Value cannot be determined through reference to public prices

(Enter to the nearest dollar. Example: 2345.88 as 2346)

Any known relationship between funded research and financial interests of paying entity?

\* denotes a required field

OK

Cancel

Apply

### 3 Intellectual Property Rights

- No Have you received income in the past twelve (12) months or expect to receive income in the next twelve (12) months from rights held in any form of intellectual property (including, but not limited to patents, copyrights and royalties) controlled by an entity other than Syracuse University?
- Yes

#### IP Rights

Have you received income in the past twelve (12) months or expect to receive income in the next twelve (12) months from rights held in any form of intellectual property (including, but not limited to patents, copyrights and royalties) controlled by an entity other than Syracuse University?

**Intellectual Property Rights** Find | View All First 1 of 1 Last

3. Intellectual Property Rights Each Entity must have its own entry + -  
Click on + or - button to add or delete an entry

\*Entity Name

\*Listing of names of copyrighted/patented documents/processes/items (limit 256 characters)

Amount of payments (\$) previous 12 months (if any) Estimated payments (\$) next 12 months (if any)

(Enter to the nearest dollar. Example:2345.88 as 2346)

Any known relationship between funded research and financial interests of paying entity?

\* denotes a required field Transaction Date

OK

Cancel

Apply

#### 4 Services

- Have you served as an officer, director, or in any other executive position in an outside business, whether or not remuneration is received for such service in the past twelve (12) months or expect to in the next twelve (12) months?
- No
- Yes

#### Services

Have you served as an officer, director, or in any other executive position in an outside business, whether or not remuneration is received for such service in the past twelve (12) months or expect to in the next twelve (12) months?

Services Find | View All First 1 of 1 Last

4. Services Each Entity must have its own entry + -

\*Entity Name Click on + or - button to add or delete an entry

\*Nature of Service (title and role within the entity) (limit 256 characters)

Amount of payments (\$) previous 12 months (if any)      Estimated payments (\$) next 12 months (if any)

      

(Enter to the nearest dollar. Example: 2345.88 as 2346)

Any known relationship between funded research and financial interests of paying entity?

\* denotes a required field

OK

Cancel

Apply

### 5 Reimbursed or Sponsored Travel

- No** Have you engaged in travel, for purposes related to your Institutional Responsibilities, which has been wholly or partially reimbursed or paid by an outside entity in the past twelve (12) months?
- Yes**

Travel detail screens are determined by the answer to the question circled below.

**Travel**

Have you engaged in travel, for purposes related to your Institutional Responsibilities, which has been wholly or partially reimbursed or paid by an outside entity in the past twelve (12) months?

**Reimbursed or Sponsored Travel** Find | View All First 1 of 1 Last

5. Reimbursed or Sponsored Travel Each Entity must have its own entry + -

\*Identity of Sponsor or Organizer Click on + or - button to add or delete an entry

Purpose of Trip (limit 256 characters)

Destination

Travel Dates

From Date To Date

Can you ascertain/quantify the exact value of your trip?

Yes  No

\* denotes a required field

OK Cancel Apply

If you can ascertain the value and click yes, you will be asked to answer the additional questions below.

**Travel**

Have you engaged in travel, for purposes related to your Institutional Responsibilities, which has been wholly or partially reimbursed or paid by an outside entity in the past twelve (12) months?

**Reimbursed or Sponsored Travel** Find | View All First 1 of 1 Last

5. Reimbursed or Sponsored Travel Each Entity must have its own entry + -

\*Identity of Sponsor or Organizer Click on + or - button to add or delete an entry

**Purpose of Trip** (limit 256 characters)

**Destination**

Travel Dates

**From Date**   **To Date**

Can you ascertain/quantify the exact value of your trip?

Yes  No

**Value (\$) of Travel**   
(to the nearest dollar)

\* denotes a required field

OK Cancel Apply

If you cannot ascertain the value and click no, you will be asked to answer the additional questions below.

## Travel

Have you engaged in travel, for purposes related to your Institutional Responsibilities, which has been wholly or partially reimbursed or paid by an outside entity in the past twelve (12) months?

**Reimbursed or Sponsored Travel** Find | View All First 1 of 1 Last

**5. Reimbursed or Sponsored Travel** Each Entity must have its own entry + -

**\*Identity of Sponsor or Organizer** Click on + or - button to add or delete an entry

**Purpose of Trip** (limit 256 characters)

**Destination**

Travel Dates

**From Date**  **To Date**

**Can you ascertain/quantify the exact value of your trip?**

Yes  No

---

**Travel Details**

**What was class and carrier of air (or other) Travel (if any)**

**What was the type and location of accommodations (if any)**

**What was the number and type of meals provided (if any)**

**What was the type and number of other included or complimentary services (if any)**

\* denotes a required field

OK

Cancel

Apply

**6 Other Forms of Payment**

- No** Have you received any other form of payment or reimbursement in the past twelve (12) months or expect to receive in the next twelve (12) months from an outside entity, including but not limited to fee-splitting arrangements for referrals, goods (i.e. drug samples or equipment), paid authorship, or other investment/payment?
- Yes**

**Other Payments**

Have you received any other form of payment or reimbursement in the past twelve (12) months or expect to receive in the next twelve (12) months from an outside entity, including but not limited to fee-splitting arrangements for referrals, goods (i.e. drug samples or equipment), paid authorship, or other investment/payment?

**Other Forms of Payment**

Find | View All First 1 of 1 Last

**6. Other Forms of Payment**

Each Entity must have its own entry + -

Click on + or - button to add or delete an entry

**\*Entity Name**

**\*Nature of payment** (limit 256 characters)

**Amount of payments (\$) previous 12 months (if any)**    **Estimated payments (\$) next 12 months (if any)**

Enter to the nearest dollar. Example: 2345.88 as 2346)

**Any known relationship between funded research and financial interests of paying entity?**

\* denotes a required field

OK

Cancel

Apply

### 7 Gag Rules

- Do you have any outstanding agreements, regardless of current, past or future payment, that contain provisos restricting your ability to speak, publish or otherwise undertake activities contrary to an entity's interest?
- No
- Yes

### Gag Rules

Do you have any outstanding agreements, regardless of current, past or future payment, that contain provisos restricting your ability to speak, publish or otherwise undertake activities contrary to an entity's interest?

#### Gag Rules

Find | View All First 1 of 1 Last

#### 7. Gag Rules

Each Entity must have its own entry + -

#### \*Entity Name

Click on + or - button to add or delete an entry

Termination Date of Agreement  (if applicable)

#### Nature of Agreement

\* denotes a required field

OK

Cancel

Apply

Once you have responded to all the questions and entered the pertinent details, click the complete button at the bottom of the disclosure questions screen. You will be directed to the certification screen below.

The screenshot shows the MYSlice Syracuse University interface. At the top, the logo "MYSlice SYRACUSE UNIVERSITY" is displayed. Below it is a breadcrumb trail: "Favorites | Main Menu > Significant Financial Interest > SFI Process > Enter SFI Disclosure". A navigation bar contains buttons for "Welcome", "Employee", "FCOI Training", "Disclosure", "Guidance", and "Definitions". The main heading is "Significant Financial Interests Disclosure". Below this, the "ID" field is redacted, and the "Effective Date" is "04/11/2013". A "Job Information" section shows the "Department" as redacted and the "Fiscal Year" as "2013". A certification box contains the text: "I certify that all information provided in this report is complete and accurate to the best of my knowledge. I have read, understand and agree to comply with the University's policies regarding [Conflict of Interest and Commitment for Principal Investigators and Senior Personnel on Sponsored Programs](#)." To the left of this text is a checkbox. At the bottom left, there is a "Save" button with a floppy disk icon. At the bottom, there is a navigation bar with links: "Welcome | Employee | FCOI Training | Disclosure | Guidance | Definitions".

Once you check the certification box, your disclosure will be automatically submitted.

All disclosures will be reviewed by the VP for Research who may return the plan for further information, may approve the disclosure with no management plan or may determine that a conflict exists and needs to be managed. You will receive follow up emails from the VPR if further action is required.