



University of Southern Maine Office of Research Integrity and Outreach
Disclosure of Financial Interests Form

If you do not understand this document please contact the Research Integrity Officer (RIO) at the Office of Research Integrity and Outreach at the University of Southern Maine:
Ross.Hickey@maine.edu 207-780-4340

If you have any issues using this Google Form please contact USMORIO@maine.edu
207-780-4517.

Name:

Department:

Position Title:

Phone Number:

eMail:

Status (FT, PT, etc):

Conflicts of Interest CITI training completion date:

- In conjunction with an annual Disclosure Form, the CITI training is a requirement to be completed every four years.

Your External Funding to the University

Source and amount of external funding: (spell out acronyms)

If Federal funding, does it include? Check all that apply

National Science Foundation (NSF)

National Institute of Health (NIH)

Public Health Service (PHS)

No Federal funding

This is your:

Initial form submission

Annual form submission

Reporting a change in significant financial interests from previous submission

Note the [new rules](#) for National Science Foundation (**NSF**) and for some the National Institute for Health (**NIH**) additional training requirements: faculty and other senior personnel must complete RCR training (along with the postdocs, graduate students, and undergraduates who were already required to complete RCR training before).

General RCR CITI date (Applying for NSF or NIH):

Safe Research Environments CITI Date (Applying for NIH):

RCR In-person Training Date (Receiving NSF or NIH):

[Register](#) for in person training; [FMI](#)

Section 1 – Introduction

In compliance with Federal law and regulation and University of Maine System (UMS) and University of Southern Maine (USM) policies, disclosure of all relevant and **significant financial interests** that **reasonably appear to be related to your University responsibilities** is required of all faculty and staff and all other members of the University community who are responsible for the design, conduct, or reporting of **research, educational, or service activities**. The interests that must be disclosed include those of yourself, your spouse, domestic partner, your dependent children, or other household members.

When answering questions, you do not need to include income from:

- Salary, royalties, or other money paid for work or a service paid by USM; income from investments, such as mutual funds and retirement accounts, as long as the person does not directly control the investment decisions.
- Income from seminars, lectures, teaching engagements, advisory committee service, or review panels, sponsored by:
 - Federal, state, or local government agency, an institution of higher education as defined at 20 U.S.C.1001 (a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education.

Section 2 – Disclosure of Financial Interests

Within the past 12 months or expect to receive in the next 12 months:

A. Do you, your spouse, domestic partner, your dependent children, or other household members have any equity or other ownership interest in a publicly-traded for-profit, non-publicly traded for-profit, or non-profit entity that, in the aggregate, exceeds \$5,000 in value or represents more than 5% ownership of any single entity? [Yes/No/Reporting a change from previous submission](#) **A. If yes or change, briefly explain**

- e.g., stock, stock option, or other ownership interest;
- any money paid for work or a service (including salary, royalties, consulting income, honoraria, paid authorship, or other payments)
- Intellectual property rights and interests **of any amount** (e.g., patents, copyrights), upon receipt of income related to such rights and interests.

B. Do you, your spouse, domestic partner, your dependent children, or other household members hold an executive position (for example: Officer, Director, partner, or proprietor) that, in the aggregate, exceeds \$5,000 in value in compensation year or 5% of ownership interest in any single entity which an independent observer could reasonably conclude may be related with any of your research, educational, or service activity at the University? [Yes/No/Reporting a change from previous submission](#) **B. If yes or change, briefly explain**

- In the case of a partnership, it is the proportionate share of the fee or commission that is significant, without regard to the expenses of the partnership. An individual who receives a salary as opposed to portions of fees or commissions is generally not required to report in this section.

C. Have you received any reimbursed travel or sponsored travel related to your University responsibilities whether paid for by a for-profit or not-for-profit organization that, in the aggregate, exceeds \$5,000 in value in compensation? [Yes/No/Reporting a change from previous submission C. If yes or change, briefly explain](#)

- Reimbursed or sponsored travel reviewed and approved as University business by the appropriate designated department official should not be included here.

D. Do you have an outside consulting relationship with an outside entity which also:
a) provides you with support through the University? [Yes/No/Reporting a change from previous submission](#)
b) or, has or seeks to have a business association with the University? [Yes/No/Reporting a change from previous submission](#)
c) or, is in the field of your professional responsibility at the University? [Yes/No/Reporting a change from previous submission](#)

D. If yes to any or change, briefly explain

E. Do you, your spouse, domestic partner, your dependent children, or other household members have or anticipate having any other outside interests, relationships or arrangements that could reasonably create the actuality or appearance of a conflict of interest under the [University's Financial Conflicts of Interest Policy](#)? [Yes/No/Reporting a change from previous submission](#) E. If yes or change, briefly explain

Section 3 – Declaration

-I hereby declare that this statement of significant financial interests (including accompanying additional pages and statements) has been examined by me and that to the best of my knowledge and belief is a true, correct, accurate, and complete statement of all such interest which an independent observer could reasonably conclude may be related with any of my research, educational, or service activity at the University.

-I have received training on federal conflict of interest policies and regulations and agree to comply with the UMS and USM policies on Financial Conflicts of Interest.

-Also, I understand that failure to file this statement as required or intentionally filing a false statement may result in disciplinary action.

-I will report any changes with regard to information provided on this statement when they become known.

I have read and understand the declaration above: (your name): _____

VERIFICATION: (office use only)

_____ I have reviewed the potential FCOI with the above named individual and there is no real or perceived FCOI.

A copy of the signed Disclosure Form will be/has been sent to Human Resources.

Research Integrity Officer or designee _____ Date _____

_____ There is a potential FCOI, the DISCLOSURE OF FINANCIAL INTERESTS FORM will be referred to the USM Conflict of Interest Committee (through the committee chair or convenor) for review and management. A copy of the signed Disclosure Form will be sent to Human Resources.