

Appendix B –Financial Conflict of Interest Disclosure Form

Employee Name:	Select type of disclosure: <input type="checkbox"/> New/Annual disclosure <input type="checkbox"/> Amended disclosure
Reporting Period:	

Please answer the following questions honestly and to the best of your ability.

1. During the reporting period do you or a member of your immediate family have a financial interest related to your Institutional, Grant or Contract responsibilities, in a publicly or non-publicly traded entity, that when aggregated, equals or exceeds \$5,000? (New employees should report remuneration and/or equity interests received in the last 12 months and during the current reporting period).

Yes or No

If Yes Please Explain:

2. During the current reporting period have you been reimbursed by an entity other than NYIT, either directly or on your behalf, for any external travel that is related to your Institutional, Grant or Contract responsibilities? (New employees should report the value of extramural travel (paid directly to you or on your behalf) in the last 12 months and during the current reporting period).

Yes or No

If Yes Please Explain:

3. Will the value of intellectual property rights (e.g. patents, copyrights, trademarks), upon receipt of income to you and/or your immediate family, during the reporting period, equal or exceed \$5,000 (New employees should report intellectual property rights received in the last 12 months and during the current reporting period).

Yes or No

If Yes Please Explain:

4. During the current reporting period, do you or an immediate family member intend to use the services of NYIT students or personnel for whom you have supervisory or evaluative responsibilities at NYIT, in carrying out any outside activities?

Yes or No

If Yes Please Explain:

5. During the current reporting period do you intend to use other NYIT resources (e.g., equipment, facilities, and supplies) or services (including information technology resources) in carrying out any outside activity?

Yes or No

If Yes Please Explain:

6. During the current reporting period will you hold or do you expect to run for political office?

Yes or No

If Yes Please Explain:

7. During the current reporting period do you intend to commit NYIT resources (i. e. personnel, materials and supplies, equipment use, departmental or project funds) to procure/purchase goods and services from or provide services to any entity as defined by but not limited to llc, company, parent company, affiliate, or subsidiary in which you or your immediate family member a) are an officer, partner, or proprietor of the entity, b) have a material interest (direct or indirect ownership) of 5% or more of the total assets or capital stock of any business entity, and/or c) hold any employment or contractual relationship with the entity? You must report proposed subcontract sponsored funding activity to NYIT from any entity owned or managed by you and/or your immediate family members.

Yes or No

If Yes Please Explain:

8. Are you performing an Outside Activity that could lead a person to believe that a conflict may exist, or that you otherwise wish to report, (e.g.: consulting activities, board membership, expert witness, company officer?) If you are an independent consultant, please indicate "Independent consultant" in the description of the activity and the name of each entity for whom you are performing consulting services.

Yes or No

If Yes Please Explain:

Note: If you answer "Yes" to any of the above questions, additional information may be requested upon review and will need to be provided.

Certification:

I certify that the outside employer(s) or recipient(s) of services understand that I am engaging in such outside activity as a private citizen, not as an employee, agent, or spokesperson of NYIT. I further certify that the statements and disclosures provided herein are current, accurate, and complete, and understand that any false or misleading representations may result in disciplinary action.

Signature:		Date:	
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REMINDER TO THE DISCLOSER

1. If you have more than one activity for each question, you will need to complete a separate disclosure for each activity.
2. If all responses are "NO" to questions 1-8, please forward this form to your immediate supervisor (as Reviewer #1) in order to initiate its internal review process. Signature by Reviewer #2 is also required.
3. Please remember to include, as applicable, any required additional information for all positive responses and such information is added to this form as an attachment. Forms containing any positive (YES) responses will need to be reviewed by the Office of Legal Affairs.

Additional signatures are required for the completion of this form. See next page.

THIS SECTION IS TO BE COMPLETED BY REVIEWERS ONLY

REVIEW OF FINANCIAL INTEREST DISCLOSURE

Reviewer # 1: {Senior Director of Sponsored Programs and Research}

- No conflict – No Review Required
- Conflict identified: Monitoring Plan for Potential COI, Request for an Exemption/Disclosure form, or both are required
- Unapproved conflict (Please provide details below)

Comment(s):

Signature:		Date:	
Print name:	Dawn M. Grzan	Title:	Senior Director of Sponsored Programs and Research

Reviewer # 2: {Designated Reviewer}

- No conflict – No Review Required
- Conflict identified: Monitoring Plan for Potential COI, Request for an Exemption/Disclosure form, or both are required
- Unapproved conflict (Please provide details below)

Comment(s):

Signature:		Date:	
Print name:	Designated Reviewer	Title:	Designated Reviewer Title