

Completing the FCOI Significant Financial Interest Disclosures

Accessing the Portal

To complete the Annual Conflict of Interest and Significant Financial Interest disclosures, login to MySlice and use the links in the Employee Services section.

- Please begin by completing the University Conflict of Interest (COI) form, by clicking on the Conflict of Interest link. Once your COI is complete, you will be automatically directed to the annual disclosure of Significant Financial Interests (SFI) required by federal regulation for all investigators named on a sponsored research project.
- If you have already completed the University COI form or if you need to update your disclosure, you may proceed directly to the SFI disclosure form by clicking on the Significant Financial Interests link.

MYSLICE
SYRACUSE UNIVERSITY

Home | Sign Out
My Links Select One:

Favorites | Main Menu

My Slice | New Tab 1 | New Tab 2
Tue, Mar 26, 13 4:57 PM

Personalize [Content](#) [Layout](#)

Orange Alert System

ORANGE ALERT
This information will be used to alert you and to provide instructions in the event of a critical incident that requires activation of the University's crisis alert notification system.

MySlice Applications

Academic Applications
Links to different academic applications.
• SUmil - student email
• Exchange - faculty/staff email
• Blackboard @ SU

Course Catalog & Class Search
Syracuse Course Catalog and Class Search Links.
• SU Online Course Catalog
• Search for Classes

Tutoring Services
Learn more about tutoring services at Syracuse University, including how to get a tutor and/or how to apply to be a tutor.

Assessment and Reporting

Exam Scores
• Exam Scores

Administrative Applications

PeopleSoft
• Financials/Supply Chain

SU Reports

View My Pay Notice

[View My Pay Notice](#)
[Click Here](#)

Employee Services

HR/Payroll

- View My Paycheck
- View My Time Off
- View/Update My Direct Deposit
- View My Pay Notice
- View My Benefits Summary
- **Conflict of Interest Survey**
- **Significant Financial Interest**
- Enroll in Benefits

Tax Forms

- View My W-2 Form
- Update My W-2 Consent Form

Tax Withholding Information
The following allow adjustments to your tax withholding allowances.

- View/Update My Federal Tax
- View/Update My NY State Tax
- View/Update My NYC/Yonkers Tax

Employee Reimbursement

Workday Videos

workday. Workday in Action

An opportunity to see Workday
(our new HR/Payroll/Benefits system).

These are live demonstrations of the system by one of Workday's experts.

[Video for Deans and Directors](#)

[Video for PS Users](#)

Employee Resources

Schedules and Calendars

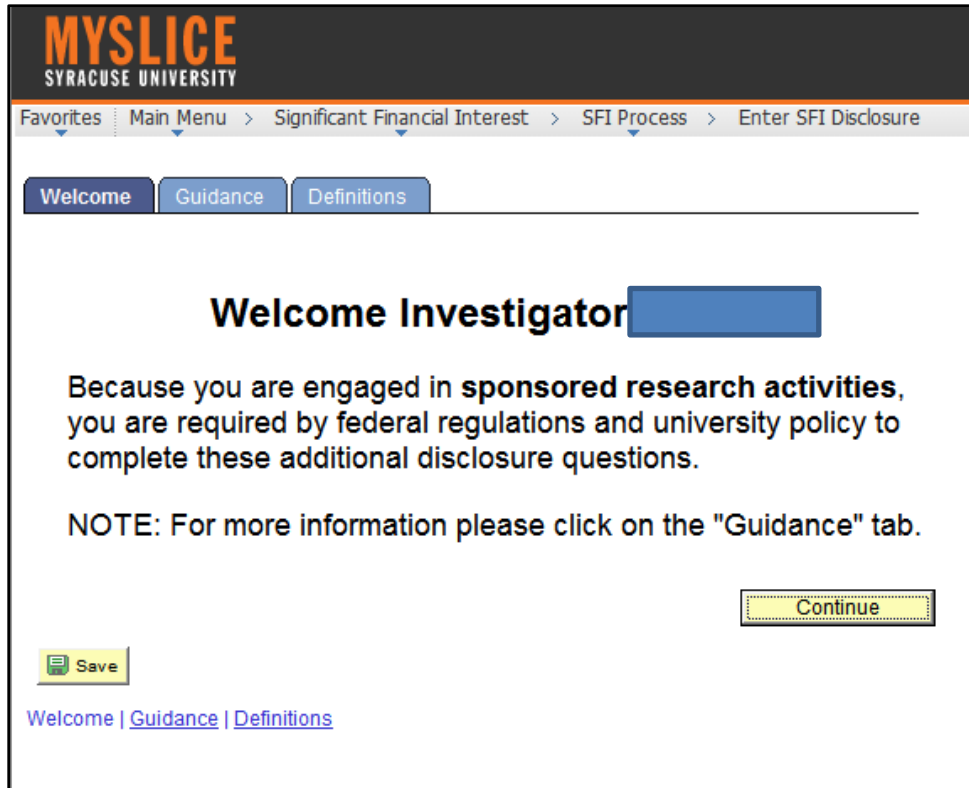
- Holiday Schedule
- Pay Calendar

Forms and Procedures

- HR Forms
- Graduate Admissions Forms
- Graduate Awards Information
- BFAS Forms

Summary Plan Descriptions

When the University COI has been submitted you will automatically be forwarded to a Welcome screen indicating that you are named as an Investigator on a sponsored award or proposal.



Please note that throughout the process you can access additional information on the FCOI process and the Annual Disclosure of Significant Financial Interests by clicking on the Guidance or Definitions tab at the top of every screen.

MYSLICE
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Favorites | Main Menu > Significant Financial Interest > SFI Process > Enter SFI Disclosure

Welcome | Guidance | Definitions

About Financial Conflict of Interest (FCOI) and Annual Disclosure of Significant Financial Interests for Investigators

What is this process and why is it required?

The Financial Conflict of Interest (FCOI) process is designed to ensure objectivity in the design, conduct, or reporting of research. To that end, all Investigators are required to complete an Annual Disclosure of Significant Financial Interests. As required by federal regulations, a designated official(s) must review all financial disclosures, determine whether a financial conflict of interest exists, and, if so, determine what actions should be taken by the Institution to manage, reduce, or eliminate such conflict of interest.

Who is required to complete this process?

This disclosure process must be completed by all "Investigators," defined as the principal investigator, project director or any other person at the institution who is responsible for the design, conduct, or reporting of a research project, proposed or funded.

How will this information be used?

Submitted information will be reviewed by the Vice President for Research. If needed, information will also be reviewed by the Syracuse University Conflict of Interest Committee (COIC).

How does this process relate to SU's Conflict of Interest Policies?

This Annual Disclosure of Significant Financial Interests process is to be completed in accordance with the SU's [Conflict of Interest and Commitment for Principal Investigators and Senior Personnel on Sponsored Programs Policy](#). Please refer to this policy for additional background and definitions of the terms used herein.

How often do I need to file a Disclosure of Significant Financial Interest?

All Investigators must file a Disclosure of Significant Financial Interests at least annually, **however**, Investigators are reminded to file an updated disclosure within **30 days** of acquiring or discovering a new Significant Financial Interest during the course of the year.

What training is required prior to completing this annual disclosure?

You will be prompted to review the related training video every four years per federal regulations. You will be notified in this system when it has been more than 4 years since your last viewing. If you have never viewed the training video before, you will be prompted to complete it prior to filling out your annual disclosure.

Save

Welcome | Guidance | Definitions

MYSLICE
SYRACUSE UNIVERSITY

Favorites | Main Menu > Significant Financial Interest > SFI Process > Enter SFI Disclosure

Welcome | Guidance | Definitions

Annual Disclosure of Significant Financial Interests

Definitions of Key Terms:

- Investigator** The definition of an "investigator" includes the Principal Investigator (PI) and any other person (regardless of title or position) that the PI identifies as independently responsible for the design, conduct, or reporting of the research.
- Financial Conflict of Interest** in research may occur when outside financial interests compromise, or have the appearance of compromising, the professional judgment of an Investigator when designing, conducting, or reporting research.
- Institutional Responsibilities** are defined as the Investigator's responsibilities associated with his or her Syracuse University appointment or position. Such responsibilities include, but are not limited to: research, research consultation, teaching, professional practice, institutional committee memberships, and service on committees or panels such as research ethics committees (e.g. Institutional Review Boards, Institutional Animal Care and Use Committees) and other bodies monitoring the conduct of research.
- Significant Financial Interest** - Anything of monetary value - aggregated for the Investigator and the Investigator's spouse, domestic partner, and dependent children - *that reasonably appears to be related to* the Investigator's Institutional Responsibilities including but not limited to the thresholds and criteria further defined in Syracuse University's Policy for [Conflict of Interest and Commitment for Principal Investigators and Senior Personnel on Sponsored Programs](#).
- Disclosure of Significant Financial Interests** means an Investigator's disclosure of significant financial interests to the University.
- Research** - a systematic investigation, study or experiment designed to contribute to generalizable knowledge relating to natural and physical sciences, social and behavioral sciences, education and engineering. The term encompasses basic and applied research, product development, or any such activity for which funding is available from an awarding component through a grant or cooperative agreement such as a research grant, career development award, center grant, individual fellowship award, infrastructure award, institutional training grant or research resources award.

Save

Employee Research Activity

The Employee tab lists all the sponsored projects where you are considered an investigator. Please review for accuracy and contact OSP with any questions.

Employee | Disclosure

Employee Sponsored Activity

Job Information

ID [REDACTED] Effective Date 04/20/2017

Department [REDACTED] Fiscal Year 2017

Our records show that you are actively engaged in **sponsored research activities**. You are receiving this "Significant Financial Interest Disclosure" form as a result of your participation in at least one of the following activities:

- Named as an Investigator on a Proposal that is under development (may not be listed below).
- Named as an Investigator on a Proposal that was submitted in the past 12 months and is still pending award.
- Named, either historically and/or currently, as an Investigator on a project that is currently awarded and active.

You were identified as an Investigator on the below listed sponsored research projects. If any of this information is incorrect, please contact the Office of Sponsored Programs at ospoff@syr.edu.

Sponsored Projects

| | |
|--------------|-----------------------------|
| Project | [REDACTED] |
| PI | [REDACTED] |
| Sponsor | National Science Foundation |
| Award Status | Award |
| Project | 03100 |
| Inst No | 26273 |

Training Requirements

You will then be directed to a screen regarding the status of your training. If your training is up to date you will receive the message below including the dates on your last training and when you will be required to be trained again.

Welcome | Employee | **FCOI Training** | Guidance | Definitions

According to our records you last completed your training on 07/09/2013. In compliance with federal regulation you are required to update your training every 4 years. Your next required training will be due on or before 07/09/2017. Your training is up to date, click on 'Proceed' to complete your disclosure.

If the Proceed button does not appear, please access MySlice by using **Chrome** or **Firefox** as your browser. Other browsers (Internet Explorer, Safari) may not function properly.

Welcome | Employee | **FCOI Training** | Guidance | Definitions

If you have never received training or your training was more than 4 years ago, you will be directed to the following page to view the training videos. The process will take approximately 20 minutes.

According to our records you last completed your training on 03/27/2009. As federal regulations require training every 4 years, you must now update your training. Training will take approximately 20 minutes. After viewing the videos, click on the **Proceed** button at the bottom of the page to begin entering your disclosure form.

FCOI Video 1

Introduction

- Part 1: Core Concepts & Ethics

FCOI Video 2

Understanding Disclosure

Collective Punishment?

I have viewed the videos in their entirety

After viewing, check the box stating that you have completed training. A “proceed” button will appear allowing you to move to the next screen.

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 or the Office of the Vice President for Research at 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.