



Florida RESTORE Act Center of Excellence Program ORGANIZATIONAL CONFLICT OF INTEREST/PERSONAL DISCLOSURE FORM

All **Grantees** of RESTORE Act (The Resources and Ecosystems Sustainability, Tourism Opportunities and Revived Economy of the Gulf Coast Act) grants or sub-awards from the Florida Institute of Oceanography (FIO), including any employees, sub-Grantees or contractors of funded entities working on FIO RESTORE Act approved research grants, are required to exercise good judgment and the highest ethical standards in their job responsibilities. Conflict of Interest (COI), or the appearance of such, may compromise the FIO's integrity and should be avoided. Employees, sub-Grantees, or contractors of the Institutions/Organizations receiving FIO funds to conduct approved research projects may not use their involvement with the FIO to make a profit or to obtain any other personal advantage, either for themselves, for their families (spouse, child, and other household members), or for any person or entity in whom or in which they have a significant financial or other vested interest. *Potential and actual conflict of interest*, or the appearance of such, must be managed so that the FIO's mission is not compromised, research conducted as part of the FIO is free from bias or perceived bias, the research investment is protected, and confidence in the integrity of the FIO activities is maintained.

All Principal Investigators (including co-Principal Investigators) on the proposal must complete the following disclosure form. The FIO Administrative Services Office will review forms to determine if a potential COI exists, seek clarification, and determine what conditions or restrictions, if any, should be imposed by the FIO in order to manage, reduce or eliminate conflict. Such steps will be carefully documented and filed with the Subagreement. The University of South Florida [Research Integrity and Compliance Office](#) assists FIO with Conflict of Interest resolution. PLEASE BE SURE TO SIGN OFF BOTH SECTIONS C AND D BELOW.

Participant Name: [INSERT TITLE, FIRST, MIDDLE, AND LAST NAME]

My Institution/Organization Name: [INSERT NAME OF INSTITUTION]

My Institution/Organization Address: [INSERT ADDRESS]

Center of Excellence Grant Title: [INSERT TITLE AS WORDED IN SUBAGREEMENT ATTACHMENT 1, APPROVED WORK PLAN]

SECTION A. FINANCIAL DISCLOSURE

At this time, I, an employee, sub-Grantee or contractor of the institution/organization [INSERT CENTER OF EXCELLENCE LEAD INSTITUTION],

Have nothing to disclose (If checked, proceed to Section B)

Am disclosing significant financial interests related to FIO RESTORE Act funds or any entity with any interest in the Deepwater Horizon incident, including relating to cleanup, damage assessment or liability associated with such incident (each a "Potentially Conflicted Entity").

For the purposes of required disclosure to the Florida Institute of Oceanography as a proposed grantee of RESTORE Act funding, the term "significant financial interest" means anything of monetary value, including, but not limited to, salary or other payments for services (e.g., consulting fees or honoraria); equity interest (e.g., stocks, stock options or other ownership interests); and intellectual property rights (e.g., patents, copyrights and royalties from such rights). The term **does not** include:

- Funding you may receive from other RESTORE Act programs or Deepwater Horizon oil spill related programs, including but not limited to: the Natural Resource Damage Assessment's Early Restoration Program; Gulf of Mexico Research Initiative; National Fish and Wildlife Foundation, Gulf Environmental Benefit Fund; National Academies of Science, Gulf Research Program; or North American Wildlife Conservation Act funds.
- Salary, royalties or other remuneration from the above-named affiliation;
- Income from seminars, lectures, or teaching engagements sponsored by public or non-profit entities;
- Income from service on advisory committees or review panels for public or non-profit entities;
- An equity interest that, when aggregated for you and your family (spouse, child, and other household members) meets both of the following tests: does not exceed \$50,000 in value as determined through reference to public prices or other reasonable measures of fair market value, and does not represent more than a 5% ownership interest in any single entity; or
- Salary, royalties or other payments that, when aggregated for you and your family (spouse, child, and other household members) are not expected to exceed \$50,000 during a twelve-month period.

Name of Potentially Conflicted Entity: [INSERT NAME]

Address of Potentially Conflicted Entity: [INSERT ADDRESS]

Principal Type of Business: [INSERT e.g., environmental consulting]

Are you a director, officer, partner, trustee, or employee of the entity?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Do you have an investment of \$50,000 or more in the entity?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Do you hold an equity position of 5% in the entity?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Have you received income, or gifts valued at \$50 or more from the entity? (Exclude income received from the entity for a previously completed project.)	Yes <input type="checkbox"/> No <input type="checkbox"/>
Have you received a loan from the entity for which the outstanding balance exceeded \$250 in the past 12 months?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Do you have an interest in any intellectual property rights belonging to the entity?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Do you have any other financial conflicts of interest with your FIO activities?	Yes <input type="checkbox"/> No <input type="checkbox"/>

Please explain: [INSERT DESCRIPTION OF POTENTIAL CONFLICT IN < 100 WORDS]

SECTION B. ORGANIZATIONAL OR PROFESSIONAL CONNECTIONS

At this time, I, [INSERT title, first name, middle initial, last name],

- Have nothing to disclose (If checked, **proceed to Section C**)
- Have an outside job that may create a conflict of interest with your FIO research activities, as proposed?
If checked, please explain: [INSERT DESCRIPTION OF POTENTIAL CONFLICT IN < 100 WORDS]

- Have any other professional connections or other business relationships that might conflict with your FIO research activities, as proposed? **If checked, please explain:** [INSERT DESCRIPTION OF POTENTIAL CONFLICT IN < 100 WORDS]

SECTION C. CERTIFICATION

- I agree to update this disclosure on an annual basis and as new reportable significant financial interests are obtained.
- I agree to cooperate in the development of a Mitigation Plan to address any actual or potential conflict of interest identified via this Disclosure.
- I agree to comply with any conditions or restrictions imposed by FIO to manage, reduce, or eliminate actual or potential conflicts of interest.

Print Name: _____

Title: _____

Signature: _____ Date: _____

Lead Principal Investigator Co-Principal Investigator Paid participant

SECTION D. ENDORSEMENT

As official representative for this Participant's home institution or organization, I have reviewed this disclosure and believe that no significant conflicts exist or, if one does exist, that it is possible to develop and execute, prior to employment or award, a Mitigation Plan to manage, reduce, or eliminate any actual or potential conflict of interest.

Print Name: _____

Title: _____

Signature: _____ Date: _____