



DISCLOSURE OF EXTERNAL PROFESSIONAL ACTIVITIES (DEPA) and RELATED MATTERS FORM

Statement of Authority and Purpose – Gonzaga University [Conflict of Interest Policy](#) prohibits employees from compromising or appearing to compromise their research, teaching, outreach, or other university activities for financial or personal benefit.

Accordingly:

- 1) Individuals involved in the design, conduct or reporting of research (“Investigators and/or Senior Personnel”) or sponsored programs activities must disclose external financial and personal interests to the university (including Significant Financial Interests) and make commitments regarding these interests to ensure that the interests could not directly and significantly affect their institutional responsibilities;
- 2) If the procedures outlined in SRP Financial Conflict of Interest Policy determines that, even after making such commitments, a discloser’s interest(s) COULD directly and significantly affect their institutional responsibilities or compromise their professional judgement or actions, further action will be required to manage or remove the conflict.

**Note to discloser, if you need assistance with or have questions about completing this form, please email the SRP office at sponsoredresearch@gonzaga.edu*

NAME:

DEPARTMENT:

EMPLOYEE ID:

TITLE OF SPONSORED PROJECT/RESEARCH:

NAME OF FUNDING SPONSOR:

PROJECT PERIOD:

Relative to the below questions: Immediate family members include, but are not limited to spouse, parents (discloser’s or spouse’s), children, siblings, son/daughter-in-law, step relatives, domestic partner, and/or relatives of domestic partner or any other relatives living at the same address.

Significant Financial Interest

Publicly-Traded Entity (PTE)

*In the past twelve (12) months, have you or an immediate family member received anything of value that when aggregated exceeds **\$5,000** from a domestic **Publicly-Traded Entity (PTE)**, or in any amount from a foreign **Publicly-Traded Entity (PTE)** that reasonably appears to be related to your responsibilities at Gonzaga? Examples include salary, consulting fees, honoraria, other payments for services or authorship as well as non-monetary resources such as free or subsidized space, laboratories, equipment, materials, or support services.

Yes No

*Do you or a close family member hold an **equity interest** (e.g., stocks, stock options or other ownership interests) in a PTE that reasonably appears to be related to your responsibilities at Gonzaga (Does not include amounts held in mutual funds or ETFs in Gonzaga employment-related 403(b) account)?

Yes No

*Does the combination of **value** received from, plus the value of **equity interest** held in, a PTE exceed **\$5,000** for one or more **Domestic Entity** or **\$0** for any **Foreign Entity**?

Yes No

Your answer "Yes" to ANY of the preceding questions indicates that you may have a Significant Financial Interest (SFI). Please explain in the comment box below:

Non-Publicly Traded Entity (NPTE)

*In the past twelve (12) months, have you or an immediate family member received anything of value that when aggregated is greater than **\$5,000** from a **Domestic Non-Publicly Traded Entity (NPTE)**—or **of any amount** from a **Foreign Non-Publicly Traded Entity (NPTE)** that reasonably appears to be related to your responsibilities at Gonzaga? Examples include salary, consulting fees, honoraria, other payments for services or authorship as well as non-monetary resources such as free or subsidized space, laboratories, equipment, materials, or support services.

Yes No

*Do you or an immediate family member hold **any equity interest** (e.g., stocks, stock options, or other ownership interests) or position of influence (e.g., officer role, board member, or other position in which you make decisions that affect the entity) in a NPTE that reasonably appears to be related to your responsibilities at Gonzaga (Does not include amounts held in mutual funds or ETFs in Gonzaga employment-related 403(b) account)?

Yes No

Your answer "Yes" to ANY of the preceding questions indicates that you may have a Significant Financial Interest (SFI). Please explain in the comment box below:

Other Financial and Personal Interests

Relative to the below questions: Immediate family members include, but are not limited to spouse, parents (discloser's or spouse's), children, siblings, son/daughter-in-law, step relatives, domestic partner, and/or relatives of domestic partner or any other relatives living at the same address.

*Do you or an immediate family member have any external financial interests valued at **more than \$5,000** for a **Domestic** entity, organization, or institution OR at **any value** for a **Foreign** entity, organization, or institution that reasonably appear to be related to your responsibilities at Gonzaga? Examples of financial interests include ownership interests, salary (not including Gonzaga paid salary), consulting fees, honoraria, or other payments as well as non-monetary services such as free or subsidized use of space, equipment, or support services.

Yes No

*Do you have a professional association or affiliation with or obligation to an outside entity (e.g. an appointment or position), whether compensated or not?

Yes No

Your answer "Yes" to ANY of the preceding questions indicates that you may have a Significant Financial Interest ("SFI"). Please explain in the comment box below:

Acknowledgement of Responsible and Ethical Conduct of Research (RECR) Training Completion

Please check below to confirm your understanding that, prior to the release of a grant or contract award, or the expenditure of any federal research funding, you must review the federal Conflict of Interest regulations, GU and SRP's Conflict of Interest policies and procedures and complete the training modules included in GU's required [Collaborative Institutional Training Initiative \(CITI\) Responsible Conduct of Research](#), which needs to be refreshed at least every four (4) years. Your certificate of completion must be on file with SRP prior to award finalization and expenditure of funds.

I acknowledge that I have received a copy of GU and SRP's Conflict of Interest policies and procedures, I understand that I must complete the requirements of GU's RECR training prior to expending any external

grant funding:

Yes No

Intellectual Property

*Have you received income in the past twelve (12) months, or do you expect to receive income during this reporting year, from intellectual property rights or interests (e.g., patents, copyrights) that reasonably appears to be related to your responsibilities at Gonzaga, excluding any income from Intellectual Property that is paid to you by Gonzaga University? The income can come from any entity, domestic or foreign, publicly traded or non-publicly traded.

Yes No

Your answer “Yes” to the preceding IP question indicates that you may have a Significant Financial Interest (“SFI”). Please explain in the comment box below:

Reimbursed or Sponsored Travel

*Have you received reimbursed or sponsored travel (i.) to a U.S. destination valued at more than \$2,500 when aggregated per entity over the prior 12-months, OR (ii) to any foreign destination regardless of value that reasonably appears to be related to your responsibilities at Gonzaga University? Do not include travel reimbursed or sponsored by GU; a U.S. federal, state, or local government agency; a U.S. institution of higher education as defined at 20 U.S.C. 1001(a); or an academic teaching hospital, a medical center, or a research institute that is affiliated with a U.S. institution of higher education.

Yes No

Your answer “Yes” to the preceding reimbursed or sponsored travel question indicates that you may have a Significant Financial Interest (“SFI”). Please explain in the comment box below for **every travel instance** that was reimbursed by an entity (not listed as exempt above):

Foreign Research Collaborations

Gonzaga University encourages research collaborations, which may at times include foreign collaborations. However, all such collaboration will be reviewed based on a risk-based assessment and guidance from the federal government. A research collaboration may include, but is not limited to, one or more of the following:

- Participating in the research design
- Collecting, sharing, or analyzing data

- Outlining, writing, or editing a manuscript intended for publication
- Sharing research results prior to pre-publication editorial review
- Designing, fabricating, improving, or testing equipment together
- Traveling in support of the above actions

*Have you engaged in a research collaboration of any kind or any engagement with the intent to collaborate with any individual(s) from foreign countries, including former post-doctoral associates? Please review the list of [Office of Foreign Assets Control \(OFAC\)](#) sanctioned countries to assist in fully answering this question.

Yes No

*Have you engaged in a research collaboration with individuals at any foreign entity, organization, and/or institution from which you received monetary or non-monetary value (including free or subsidized space, laboratories, equipment, or materials; access to otherwise restricted data; support services; visiting researchers or personnel)?

Yes No

Your answer “Yes” to the preceding questions indicates that you may have a Significant Financial Interest (“SFI”). Please explain in the comment box below **every collaboration** that meets any of the criteria above:

Foreign Talent Recruitment Programs

*Are you involved in a Foreign Talent Recruitment Program (FTRP)? A FTRP is an effort organized, managed, or funded by a foreign government, or foreign government instrumentality or entity (including universities), to recruit primarily science and technology professionals or students. This includes any program, position, or activity that includes compensation in the form of cash, in-kind compensation, including research funding, promised future compensation, complementary foreign travel, things of non *de minimis* value, honorific titles, career advancement opportunities, or other types of remuneration or consideration.

Yes No

Your answer “Yes” to the preceding questions indicates that you may have a Significant Financial Interest (“SFI”). Please explain in the comment box below **the FTRP entity name(s) and associated country information**:

Conflicts of Commitment Acknowledgement

I understand that, for any activities and/or interests disclosed in the preceding sections (if applicable) on which I spend time or effort outside of my university employment obligations, I—depending on my

employment requirements—have or will receive approval from my academic department and/or Supervising Authority for the external activities and/or interests that I am involved in and the corresponding time commitment.

*Approval Received: Yes No N/A

CERTIFY REVIEW OF POLICY/PROCEDURE and SUBMIT DEPA

I certify that I have read and understand the Gonzaga University Conflict of Interest Policy and SRP Policy/Procedure related to this disclosure. I certify that I have completed this form to the best of my ability and that my answers are true, complete, and accurate. I recognize that I am obligated to submit an updated DEPA and Related Matters Form within 30 days of a change in the status of my disclosure.

Please type name in the box below.

Name:

Please e-sign in the box below. Select the box, then click Fill & Sign under all tools. Select add signature and follow the prompts.

Name:

Date:

To submit, please email this completed and certified form to sponsoredresearch@gonzaga.edu