

Financial Disclosure for Non-PHS Funded Research & Agencies following NSF FCOI Regulations

In accordance with The National Science Foundation (NSF) which requires disclosure of significant financial interests by investigators receiving support for research either directly or via subaward. The conflict of interest policies are found in the NSF Proposal and Award Policies and Procedures Guide, Chapter IX - Grantee Standards., the Principal Investigator and all other key investigators must disclose their personal significant financial interests and those of their spouse/registered domestic partner and/or dependent children related to their institutional responsibilities. This includes the Principal Investigator, Co-Principal Investigator, Senior and Key Personnel, and any other individual who is responsible for the design, conduct, or reporting of research funded by the NSF and to other agencies that have adopted the NSF requirements (e.g., UCOP Research Programs: CBCRP, CHRP, TRDRP; the California Institute for Regenerative Medicine.)

I. Project Information	
Principal Investigator:	Department:
Project Begin Date:	Project End Date:
Project Title:	Cayuse Proposal #:
Sponsor:	
<input type="checkbox"/> NSF	Other agency that has adopted The NSF Financial Conflict of Interest Regulations
<input type="checkbox"/> Subcontract of NSF Funds from _____	Agency: _____

II. Type of Disclosure	II. Type of Proposal
Negative Declaration of Financial Conflict of Interest	New Proposal
Disclosure of Financial Conflict of Interest	Update to Existing Proposal (Explain below)

III. Principal Investigator / Co-Principal Investigator Disclosure

For the purpose of this disclosure form, **Institutional Responsibilities** means an Investigator's teaching/education, research, outreach, clinical service, and University and public service on behalf of the University of California which are in the course and scope of the Investigator's University of California appointment/employment.

2. **Financial Interests**

Income (e.g., salary, royalties or other payments for services such as consulting fees or honoraria)

- a. Have you, your spouse or registered domestic partner, and/or dependent children received income or other payment for services, in the past 12 months, exceeding \$10,000, when **aggregated**, from the entity? This does not include payments from The Regents, or income from seminars, lectures, or teaching engagements sponsored by a federal, state, or local government agency, a US institution of higher education or an affiliated research institute, an academic teaching hospital, or a medical center.

No Yes, Investigators Disclosure of Economic Interests Addendum is attached in a sealed envelope.

Equity Interests (e.g., stocks, stock options or other ownership interests)

- b. Do you, your spouse or registered domestic partner, and/or dependent children currently own, or have acquired in the past 12 months, **any** equity interest that does not exceed \$10,000 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?

No Yes, Investigators Disclosure of Economic Interests Addendum is attached in a sealed envelope.

3. **Intellectual Property Rights**

Have you, your spouse, dependent child(ren), or registered domestic partner assigned to the entity rights to a pending application or issued patent to an inventions, license rights, or copyright for software? (do not include UC-held Rights)

No Yes, Investigators Disclosure of Economic Interests Addendum is attached in a sealed envelope.

4. **Management Position**

Do you, your spouse, dependent children, or registered domestic partner hold a position of management with this entity? State the position title, describe the responsibilities of the position and explain any relationship to this project:

No Yes, Investigators Disclosure of Economic Interests Addendum is attached in a sealed envelope.

5. **Acknowledgement and Certification**

I certify under penalty of perjury that this is a complete disclosure of all my significant financial interests related to my institutional responsibilities and I have used all reasonable diligence in preparing this Financial Interest Disclosure, and to the best of my knowledge it is true and complete. I also acknowledge that by signing my name below that it is my responsibility to disclose, within 30 days, any new significant financial interests obtained during the term of the above proposed project.

Signature of PI / Co-PI: _____ Date: _____

Printed Name: _____

The information provided herein may be released or transmitted to the sponsor, including federal agency representatives, and according to the California Public Records Act, may also be released to the public, upon request. These records will be retained for 3 years after termination of sponsored project or until resolution of any action by the sponsor, whichever is greater. The Office of Record is the Office of Research.

Who files?

All Principal Investigators, Project Directors, Co-Principal Investigators, and any other members of the research team (e.g., postdocs) who will be responsible for the design, conduct, or reporting of research or educational activities funded or proposed for funding. Under the regulation, these individuals are defined as **“Investigator.”**

When are disclosures filed?

An NSF and Other Non-PHS Federal Financial Disclosure is required at the time a proposal is submitted to the Sponsored Projects Office and whenever there is a change in the financial interests of a responsible individual.

What must be disclosed?

All investigators must disclose any **“Significant Financial Interest”** (SFI) and/or **“Related Financial Interest”** (RFI) of themselves, spouse, registered domestic partner, and dependent child(ren) where that financial interest may be: 1) affected by the research being conducted or, 2) in any organization that would reasonably appear to be affected by or benefit from the research being conducted.

What is a “Significant Financial Interest”? Significant Financial Interest is defined as anything of monetary value including, but not limited to:

- Salary, income, honoraria, royalties, dividends, consulting, loans, or other payment or consideration with value (including payments made to the University of California Health Sciences Compensation Plans and e.g., equipment loans) from any business, public, or nonprofit entity exceeding \$10,000 during the prior twelve months, aggregated for the Investigator, spouse, dependent child(ren), and registered domestic partner. Equity interest (stock, stock options, real estate, etc.) that exceeds \$10,000 or 5% ownership.
- Equity interest (stock, stock options, real estate) that exceeds \$10,000 or 5% ownership.
- Management position such as board member, director, officer, partner, or trustee held by the Investigator.
- Intellectual property interest held by the Investigator, spouse, dependent child(ren), or registered domestic partner assigned or to be assigned to a party other than the Regents.

What is excluded from disclosure/What is not a “Significant Financial Interest”?

- Salary, royalties or other remuneration from the proposing organization;
- Any ownership interests in the organization, if the organization is an applicant under the Small Business Innovation Research Program or Small Business Technology Transfer Program;
- 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 nonprofit entities;
- An equity interest that, when aggregated for the investigator and the investigator’s spouse and dependent children, meets both of the following tests: does not exceed \$10,000 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
- Salary, royalties or other payments that, when aggregated for the investigator and the investigator’s spouse and dependent children, are not expected to exceed \$10,000 during the prior twelve-month period.

What is a “Related Financial Interest”? Related Financial Interest is defined as work performed under a sponsored project, which results would appear to affect the Investigator’s SFI; the following are considered RFIs:

- Results of project being carried out by Investigator, which would be relevant to development, manufacturing, or improvement of product or service of entity in which Investigator has a SFI.
- Investigator financial interest in an entity, which might manufacture or commercialize drug, device, procedure, or any other product used in the project or that will predictably result from the project.
- Investigator consulting income from a single entity that exceeded \$10,000 during the prior twelve months; and the financial interests of that entity, or the Investigator’s financial interest related to consulting for that entity, would reasonably appear to be affected by the research to be conducted.
- Entity where financial interests lie is proposed as a subcontractor, consortium member, supplier of goods, lessor, or otherwise involved with the sponsored project.