

Disclosure of Financial Interests Certification Pre-award (Proposal) _____ Post-Award (Project) _____

Completion of this form is mandatory for Investigators who submit proposals to the National Science Foundation (NSF), the Public Health Service (PHS), and any other sponsors that have adopted the federal requirements for financial disclosure. This information is required to comply with the San Francisco State University (SF State) Financial Conflict of Interest Policy and federal regulations regarding disclosure of any financial interests that would reasonably appear to be affected by the conduct of a sponsored project. The information contained in this form may be released or transmitted to the sponsor, including federal agency representatives, and according to the California Public Records Act, it may also be released to the public, upon request.

Principal Investigator Last Name _____ First Name _____ MI _____

Department _____ Project Beginning and End Date _____

Proposal/Project Title: _____

Amount of funding requested: _____

Sponsor:

-
- PHS
-
- NIH
-
- NSF
-
-
- Subcontract of PHS/NIH/NSF funds from _____
-
-
- Other _____

This submission is for (check one):

-
- New Proposal
-
- Competing Continuation (Renewal)
-
-
- New Investigator Added to Project
-
- Change in Financial Interest
-
-
- Annual Reporting / Non-Competing Continuation

Disclosures and Certification

Each Investigator's signature acknowledges responsibility to provide a complete disclosure of all reportable financial interests prior to award receipt, as those interests change, or on an annual basis during the project award period as required by the funding agency. The Investigator agrees to cooperate in the development of a Resolution Plan to address any actual or potential conflict of interest identified via this disclosure. The Investigator agrees to comply with any conditions or restrictions imposed by SF State to manage, reduce, or eliminate actual or potential conflicts of interest or forfeit the award. The Investigator also acknowledges they have read, understand, and agree to abide by SF State's Financial Conflict of Interest policy.

A. Principal Investigator: certifies that this form provides (1) a complete disclosure of all individuals involved in the design, conduct, or reporting of activities associated with this project, and (2) a complete disclosure of the PI's significant financial interests related to this project.

Do you, your spouse or dependent children have any significant financial interests related to the work to be conducted as part of the above-referenced project?

(Definitions are specified on page 3 of this form)

-
- No
-
- Yes,
- Investigator's Disclosure of Economic Interests Addendum*
- is attached in a sealed envelope (Please type or print information)

Do you benefit from any reimbursed or sponsored travel (i.e., travel paid on your behalf that is not reimbursed, so that the exact monetary value may not be readily available), related to your Institutional responsibilities? (Definitions are specified on page 3 of this form)

-
- No
-
- Yes,
- Investigator's Disclosure of Economic Interests Addendum*
- is attached in a sealed envelope (Please type or print information)

Signature of Principal Investigator Date_____
Name and Title of Principal Investigator (Please type or print information)

B. Co-Investigators: certifies that this form provides (1) a complete disclosure of all individuals involved in the design, conduct, or reporting of activities associated with this project, and (2) a complete disclosure of the Co-I's significant financial interests related to this project.

Do you, your spouse or dependent children have any significant financial interests related to the work to be conducted as part of the above-referenced project?

(Definitions are specified on page 3 of this form)

-
- No
-
- Yes,
- Investigator's Disclosure of Economic Interests Addendum*
- is attached in a sealed envelope (Please type or print information)

Do you benefit from any reimbursed or sponsored travel (i.e., travel paid on your behalf that is not reimbursed, so that the exact monetary value may not be readily available), related to your Institutional responsibilities? (Definitions are specified on page 3 of this form)

-
- No
-
- Yes,
- Investigator's Disclosure of Economic Interests Addendum*
- is attached in a sealed envelope (Please type or print information)

Signature of Co-Investigator Date_____
Name and Title of Co-Investigator (Please type or print information)

(Attach additional sheets as required to identify and include financial disclosure information for all project Investigators.)

C. Non-CSU Investigators: Will Non-CSU Investigators be involved with the PI or Co-I, in the design, conduct or reporting of the activities associated with the project (e.g., subcontractors, consultants, others with significant responsibilities)? NO YES

If Yes, SF State must be assured that the affiliated institution has policies that comply with the funding agency's regulations. **Such assurance should be provided to SF State.**

Associate Vice President Endorsement:

I have reviewed this financial interest disclosure and believe that no significant financial interest exists, or if one does exist that a Resolution Plan to manage, reduce, or eliminate any actual or potential conflict of financial interest has been implemented. Therefore, I recommend that funds be expended.

Signature of Associate Vice President, Office of Research and Sponsored Programs Date COI Training (if applicable): _____

Expiration Date: _____

Investigator's Disclosure of Economic Interests Addendum

I have reportable financial interests declared on the attached pages

Name of Interest:

Address of Interest:

Owner(s) of Interest:

Principal Type of Business:

Do you have an investment of \$10,000 or more in the entity?

No Yes

For NIH & PHS-funded Investigators, do you have an investment of \$5,000 or more in the entity?

No Yes

Do you hold an equity position of 5% or more in the entity?

No Yes

Are you a director, officer, partner, trustee or employee?

No Yes

If "yes," please specify below

Do you have intellectual property rights (patents, copyrights) being used by the entity or "interest"?

No Yes

If "yes," please specify below

Is there an agreement between you and the entity or "interest" for deferred remuneration, compensation, or financial gain of any kind?

No Yes

If "yes," please specify below

For NIH & PHS-funded Investigators, do you receive reimbursed or sponsored travel related to your Institutional responsibilities? This does not include travel that is reimbursed or sponsored by a federal, state, or local government agency, an institution of higher education, academic teaching hospital, medical center, or research institute affiliated with an Institution of higher education.

No Yes

If "yes," please indicate purpose of trip, sponsor/organizer, destination, and duration below

Additional information to add? *If "yes," please specify below*

I declare under penalty of perjury under the laws of the State of California that I have used all reasonable diligence in preparing this Disclosure and that, to the best of my knowledge and belief, it is true and complete.

Investigator's Signature

Date

Investigator's Printed name

Instructions

Who Must Disclose? An individual involved in the design, conduct, or reporting of the results of work performed or to be performed under the sponsored project. "Investigator" includes, but is not limited to the Principal Investigator, Co-Investigators, and any other individuals (including personnel from other institutions) who are involved in accomplishing project objectives. It may include students, graduate and undergraduate, and other personnel who may be listed as authors on project results, even if they are not paid from the project.

For NSF, NIH, Public Health Service (PHS), and other Sponsors who have adopted the Federal disclosure requirements:

1. The Principal Investigator (PI) and each Investigator must sign the Disclosure at pre-award/proposal stage and post-award stage.
2. Submission of this form is also required on an annual basis, when a new Investigator is added to the project, or when an Investigator's financial interests increase or change, whichever comes first.
3. Investigators having a significant **Related Financial Interest** (see definition below for *What is a "Related Financial Interest"?*) must also complete the **Investigator's Disclosure of Economic Interests Addendum**. Allow sufficient time for the Office of Research and Sponsored Programs (ORSP) to review.
4. If Sponsor is NSF, NIH, or PHS -- see chart below for **Significant Financial Interest** Disclosure requirements:

| | |
|----------------------|--|
| NSF | <p>The de minimis disclosure threshold for a Significant Financial Interest is \$10,000 in the twelve months preceding for disclosure which generally applies to 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). A reportable SFI is related to the PI's institutional responsibilities.</p> <p>The term significant financial interest does not include:</p> <ol style="list-style-type: none"> 1. Salary, royalties, or other remuneration from the applicant institution; 2. 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; 3. Income from seminars, lectures, or teaching engagements sponsored by public or non-profit entities; 4. Income from service on advisory committees or review panels for public or non-profit entities; 5. An equity interest that, when aggregated for the investigator and the investigator's spouse and dependent children, meets both of the following tests: <ul style="list-style-type: none"> (i) does not exceed \$10,000 in value as determined through reference to public prices or other reasonable measures of fair market value; and (ii) does not represent more than a 5% ownership interest in any single entity; 6. 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 |
| NIH & PHS | <p>The de minimis disclosure threshold for a Significant Financial Interest is \$5,000 in the twelve months preceding for disclosure which generally applies to payments for services (e.g., consulting fees, honoraria, or paid authorship), equity interest (e.g., stocks, stock options, or other ownership interests), and intellectual property rights (e.g., patents, copyrights and royalties from such rights). This includes any equity interest in non-publicly traded entities. Investigators must disclose the occurrence of any reimbursed or sponsored travel. A reportable SFI is related to the PI's institutional responsibilities.</p> <p>The term significant financial interest does not include:</p> <ol style="list-style-type: none"> 1. Salary, royalties, or other remuneration from the applicant institution; 2. Intellectual property rights assigned to the Institution and agreements to share in royalties related to such rights; 3. Any ownership interests in the Institution held by the Investigator, if the Institution is a commercial or for-profit organization; 4. Income from investment vehicles, such as mutual funds and retirement accounts, as long as the Investigator does not directly control the investment decisions made in these vehicles; 5. Income from seminars, lectures, or teaching engagements sponsored by a federal, state, or local government agency, an Institution of higher education as defined in 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education; 6. Income from service on advisory committees or review panels for a federal, state, or local government agency, an Institution of higher education as defined in 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education; 7. Travel that is reimbursed or sponsored by a federal, state, or local government agency, an Institution of higher education as defined in 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education; 8. Salary, royalties, or other remuneration that when aggregated for the investigator and the investigator's spouse and dependent children, are not expected to exceed \$5,000 in the twelve months preceding for disclosure |

What is a "Related Financial Interest"? The work to be performed under the sponsored project and results therefrom would reasonably appear to affect the financial interest of the Investigator or the financial interest of the Entity in which the Investigator has an interest. The following are financial interests "related" to a sponsored project:

1. The Investigator is conducting a project where the results could be relevant to the development, manufacturing, or improvement of the products or services of the entity in which the Investigator has a financial interest;
2. The Investigator has a financial interest in an entity which might manufacture or commercialize a drug, device, procedure or any other product used in the project or that will predictably result from the project;
3. The Investigator has consulting income in his/her professional field that exceeds the sponsor's threshold amount from a single entity during the prior twelve months. The Conflict of Interest Oversight Committee will provide an assessment for the Provost and Vice President of Academic Affairs and Vice President of Administration and Finance as to whether any of that entity's financial interests, or the Investigator's financial interests related to consulting for that entity, would reasonably appear to be affected by the federally-sponsored research;
4. The Investigator has a financial interest in an entity and the sponsored project proposes to subcontract a portion of the work, or lease property, or make referral of participants to, or make purchases from the entity; or
5. The Investigator has a financial interest in an entity that is part of a consortium or that will otherwise participate in the sponsored project.

Review Process

Staff in the Office of Research and Sponsored Programs (ORSP) will review the disclosure information to ensure completeness and consistency with prior disclosures. Information provided in the Disclosures of those Investigators having a Related, Significant Financial Interest and additional appropriate documentation shall be forwarded to ORSP. ORSP will consider whether the financial interests of the Investigator or the Entity could be directly and significantly affected by the proposed sponsored project and whether the financial interest could affect the design, conduct, or reporting of the project. A direct impact occurs when the project results would be directly relevant to the development, manufacturing, or improvement of the products or services of the entity in which the employee has a financial interest, or when the entity is a proposed subcontractor or participant in the project. A significant impact on the financial interest is one that will materially affect the value of the organization, its earnings, or the sale of its products. ORSP will review the information and make a recommendation to the Provost and Vice President of Academic Affairs and Vice President of Administration and Finance, who are the responsible institutional officials.

Retention of Information: Three (3) years after termination of sponsored project or until resolution of any action by the sponsor, whichever is greater.