

## NSF Proposal Conflict of Interest Information

This form is required to be filed for every NSF proposal and should accompany the Proposal Routing Form (PRF). It is required for all Investigators and any other person who is responsible for the design, conduct, or reporting of the research. If an Investigator has a reportable financial interest, it must be disclosed to SPA when the Investigator submits the relevant grant proposal and whenever a reportable financial interest arises during the period of an award. Please complete the applicable section below and return to SPA.

### NSF requires all Investigators to disclose the following conflicts of interest:

- (1) if an Investigator has a "*Significant Financial Interest*," which is defined as anything of monetary value, including but not limited to salary or other payments for services (e.g., consulting fees or honoraria); equity interests (e.g., stocks, stock options, or other ownership interests); and intellectual property rights (e.g., patents, copyrights, and royalties from such rights), but NOT including any of the following: (i) salary, royalties, or other remuneration from the University; (ii) income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities; (iii) income from service on advisory committees or review panels for public or nonprofit entities; (iv) an equity interest that, when aggregated for the Investigator and his or her spouse and dependent children, meets both of the following tests: (x) does not exceed \$10,000 in value as determined through reference to public prices or other reasonable measures of fair market value; and (y) does not represent more than a five percent ownership interest in any single entity; (v) salary, royalties, or other payments (including equity) that, when aggregated for the Investigator and his or her spouse and dependent children over the next twelve months, are not reasonably expected to exceed \$10,000;

AND

- (2) any of the following circumstances apply:
  - (a) when the grant application is submitted, the Significant Financial Interest would reasonably appear to be affected by the proposed research;
  - (b) during the period of the award, the Significant Financial Interest would reasonably appear to be affected by the ongoing research;
  - (c) when the grant application is submitted, the Significant Financial Interest is in one or more entities whose financial interests would reasonably appear to be affected by the proposed research; or
  - (d) during the period of the award, the Significant Financial Interest is in one or more entities whose financial interests would reasonably appear to be affected by the proposed research.

**NOTE:** If you have a Significant Financial Interest in an entity receiving NSF funds for the proposed or sponsored award, or in an entity that could benefit from the research activity, or in an entity that has a license or other rights to research or technology that is a subject of the award, then you should complete a **disclosure of financial interest form**.

## A. NSF Proposal Summary Disclosure Form

### ***THIS SECTION IS REQUIRED***

PI Name :	Project Title:
	Project Start and End Dates:
Department:	Award No. (If Continuation Proposal):
	Sponsor:
Contact Phone:	If UMass-D is Subcontractor, Name of Prime Sponsor:
	Is there a Subcontract on Proposal: ( )Yes or ( )No
E-mail:	Name of Subcontractor:

#### **SECTION I - To Declare NO REPORTABLE Significant Financial Interest:**

I hereby declare that (1) I, my spouse, and my dependent children **do not** currently have *Significant Financial Interest(s)* that must be disclosed under NSF Policy with respect to the above-referenced proposal; and (2) I will update this disclosure if any of the aforementioned parties secure new *Significant Financial Interests* that require disclosure.

Investigator or Key Personnel Signature: \_\_\_\_\_ Date: \_\_\_\_\_

#### **SECTION II - To Declare a REPORTABLE Significant Financial Interest:**

I hereby declare that (1) I, my spouse, and/or my dependent children **do** have a *Significant Financial Interest(s)* that must be disclosed under NSF Policy with respect to the above-referenced proposal. Supporting documentation to identify each of the specific entities involved and the nature/amount of the interest(s) is attached in an envelope marked CONFIDENTIAL; and (2) If the University determines that this *Significant Financial Interest* could directly and significantly affect the design, conduct, or reporting of the proposed project, I will:

- Cooperate in the development and execution of a Conflict of Interest Resolution Plan prior to expenditure of awarded funds;
- Comply with any conditions or restrictions imposed by the Resolution Plan to manage, reduce, or eliminate any actual or potential conflict of interest; and
- Update this disclosure if I, my spouse, or my dependent children secure any new *Significant Financial Interest(s)* that require disclosure.

Investigator or Key Personnel Signature: \_\_\_\_\_ Date: \_\_\_\_\_

#### **Endorsement For Submission of Proposal**

I have reviewed this Disclosure Form and am aware of both the *Investigator's* proposed role in this project and the reported *Significant Financial Interest*. If it is determined that this *Significant Financial Interest* could create a conflict of interest, I understand that an approved Resolution Plan must be developed prior to the expenditure of any awarded funds. On this basis, I recommend that the above-referenced proposal be submitted to the Sponsor at this time in order to expedite its consideration.

Department Chair Signature: \_\_\_\_\_ Date: \_\_\_\_\_

#### **SECTION III - PRINCIPAL INVESTIGATOR CERTIFICATION:**

*To the best of my knowledge, I certify that the information provided above is accurate. I certify that (1) the information submitted within the application is true, complete and accurate to the best of my knowledge; (2) any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties; and (3) that all persons who are responsible for the design, conduct, or reporting of research, educational, or service activities funded, or proposed for funding has completed and submitted a summary disclosure form.*

Principal Investigator Signature: \_\_\_\_\_ Date: \_\_\_\_\_

*If you have a significant financial interest to report: please complete a **Disclosure of Financial Interest Form**. Attach the form in an envelope marked "confidential" to the summary disclosure and submit to SPA.*

As required by the NSF, the University will report the existence of a conflict of interest which is unable to be managed, reduced or eliminated within the University to the NSF Office of the General Counsel.