

CALIFORNIA STATE UNIVERSITY, EAST BAY  
OFFICE OF RESEARCH AND SPONSORED PROGRAMS (ORSP)  
**NSF CONFLICT OF INTEREST DISCLOSURE FORM**

(Required for all proposals submitted to the National Science Foundation and any other entities that have adopted this requirement)

THIS SUBMITTAL is for a  New Disclosure  Updated Disclosure

**Investigator's Name:** \_\_\_\_\_

**Academic Department:** \_\_\_\_\_

**Proposal/Project Title:** \_\_\_\_\_

**Award Number:** \_\_\_\_\_

**Proposal Type (please check one):**

- National Science Foundation (NSF)  
 Subaward from \_\_\_\_\_ under NSF Prime  
 Other: \_\_\_\_\_

At the time a proposal is submitted, Principal Investigators (PIs), Project Directors (PDs), and any other individuals with responsibility for design, conduct, or reporting of a project ("Co-PI's", "Subcontractors") must disclose Significant and/or Related Financial Interests of themselves, their spouse, 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.

This requirement applies to proposals to the National Science Foundation (NSF) or to any other entity that has adopted the requirements. Application extends to subaward proposals/award if funding will come from NSF or from any other entity that has adopted the requirements.

NOTE: This disclosure is separate from any disclosure required under State of California Administrative Code, Title 2, Section 18705 (Form 700-U Statement of Economic Interests for Principal Investigators).

Significant Financial Interest (SFI) 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 from any business, public, or nonprofit entity exceeding \$10,000 during the prior twelve months, aggregated for the Investigator, spouse, and dependent child(ren).
- 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, and dependent child(ren) assigned or to be assigned to a party other than the CSU Chancellor's Office.

\*Do not include: (1) Salary, royalties, or other remuneration from the university; (2) Income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities; (3) income from service on advisory committees or review panels for public or nonprofit entities.

Related Financial Interest (RFI) 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.

Disclosure is required at the time a new proposal is submitted and whenever there is a disclosable change in the SFI or RFI of an Investigator, spouse, or dependent child(ren), as defined above.

See <http://www20.csueastbay.edu/orsp/files/docs/policy-and-regulations/Conflict%20of%20Interest%20Policy-CR3.pdf> for the Policy on Disclosure of Financial Interests Related to Sponsored Projects and for other information.

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All Investigators must answer the following question:

Do you, your spouse, or dependent child(ren) have any Significant and Related Financial Interest(s) that would (i) reasonably appear to be affected by the research for which funding is sought or, (ii) are in the sponsor of the research or (iii) are in entities whose financial interests would reasonably be affected by the research?

NO       YES

If you answered NO, please sign this form (on the last page) and submit with your proposal.

If you answered YES, please answer the following questions (attach separate sheet if needed), sign and submit with your proposal.

Name of Entity: \_\_\_\_\_

Principal Business of Entity: \_\_\_\_\_

1. If you, your spouse, or dependent child(ren) 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.

2. If you, your spouse, or dependent child(ren) have equity interest in excess of \$10,000 or 5% ownership in Entity, state the value, type of equity (stock, securities, etc.), and percentage of ownership.

3. If you, your spouse, or dependent child(ren) have received income in excess of \$10,000 from the Entity in the past 12 months, describe the nature of the income and explain any relationship to this project.

4. Have you, your spouse, or dependent child(ren) assigned to the Entity rights to a pending application or issued patent to an invention(s), license rights, or copyright for software (do not include CSU-held rights)?

- No  
 Yes: The application, patent, or license is NOT from the University.

5. If this proposal includes the Entity as a subcontractor, consortium member, supplier of goods, lessor or otherwise involved in the project, explain and describe.

6. If the Entity might manufacture or commercialize any drug, vaccine, device, product, procedure, or process that is associated with or that will predictably result from the project, explain and describe.

7. If the Entity could be reasonably expected to be directly and significantly affected by the design, conduct, or reporting of the activity proposed, explain and describe.

8. Is it reasonable to anticipate that your financial interest could be directly and significantly affected by the design, conduct, or reporting of the activity proposed?

No: Explain.

Yes: Explain.

9. Additional Comments. Attach separate sheet if necessary.

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**Certification by individual filing disclosure**

I certify that this is a complete disclosure of all financial interests related to this Entity.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

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*The information provided on this form may, under the California Public Records Act, be released to sponsoring agency personnel or members of the public. The purpose of collecting this information is to comply with federal regulations and the University Policy on Disclosure of Financial Interests related to Sponsored Programs. Complete one form for each Entity in which you have a financial interest. Retention: Five (5) years after termination of sponsored project or until resolution of any action by the sponsor, whichever is longer.*