

NSF Financial Conflict of Interest Disclosure Form

In accordance with the NSF Conflict of Interest Policies (NSF 16-1, Awards and Administration Guide, Chapter IV.A), each grantee organization employing more than fifty persons is required to maintain an appropriate written and enforced policy on conflict of interest and that all conflicts of interest for each award be managed, reduced or eliminated prior to the expenditure of the award funds.

The organizational conflict of interest policy requires that each investigator must disclose to a responsible representative of the organization all significant financial interests of the investigator (including those of the investigator's spouse and dependent children): (i) that would reasonably appear to be affected by the research or educational activities funded or proposed for funding by NSF; or (ii) in entities whose financial interests would reasonably appear to be affected by such activities. This includes the principal investigator, co-principal investigators/co-project directors, and any other person at the organization who is responsible for the design, conduct, or reporting of research or educational activities funded or proposed for funding by NSF.

The organizational conflict of interest policy must ensure that investigators have provided all required financial disclosures at the time the proposal is submitted to NSF. It must also require that those financial disclosures are updated during the period of the award, either on an annual basis, or as new reportable significant financial interests are obtained.

Definitions

Investigator means the principal investigator, co-principal investigators/co-project directors, and any other person at the organization who is responsible for the design, conduct, or reporting of research or educational activities funded or proposed for funding by NSF.

Significant Financial means anything of monetary value, including, but not limited to, salary or other 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).

Significant Financial Interest does NOT include:

- A. salary, royalties or other remuneration from the applicant organization;
- B. 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;
- C. income from seminars, lectures, or teaching engagements sponsored by public or non-profit entities;
- D. income from service on advisory committees or review panels for public or nonprofit entities;
- E. 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; or
- F. 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.

Project Information

Name: _____ Department: _____ Email: _____

Lead PI: _____ Lead PI Organization (if not Skidmore): _____

Role on Project: _____ Sponsor: _____ Project Dates: _____ to _____

Project Title: _____

Are subrecipients involved in the project? No Yes

If yes, provide name(s) of subrecipient organization(s): _____

Type of Proposal/Disclosure

 New Proposal Update Disclosing New Significant Financial Interests New Investigator Added to Project Required Annual Update

1. Have you, your spouse, and/or your dependent children received **salary, royalties or other payments for services** (e.g., consulting fees or honoraria) in the past 12 months exceeding \$10,000 when aggregated that could directly and significantly affect the design, conduct, or reporting of NSF-funded research or education activities? This does not include salary, royalties or other remuneration from Skidmore College, nor does it include income from seminars, lectures, teaching engagements, or service on advisory committees or review panels for public or non-profit entities.

 Yes No

2. Do you, your spouse, and/or your dependent children currently own any **equity interest** (e.g., stock, stock options, or other ownership interests exceeding \$10,000 in value (current market value if publicly traded; internal estimate of value if not publicly traded) or have more than 5% ownership interest in a single entity when aggregated that could directly and significantly affect the design, conduct, or reporting of NSF-funded research or education activities?

 Yes No

3. Do you, your spouse, and/or your dependent children have any **intellectual property rights** (e.g., patents, copyrights and royalties from such rights) that could directly and significantly affect the design, conduct, or reporting of NSF-funded research or education activities? (Do not include any intellectual property that has been assigned to Skidmore.)

 Yes No**Acknowledgement and Certification**

I **acknowledge** that by signing my name below, it is my responsibility to disclose, *within 30 days*, any new significant financial interests obtained during the term of the above proposed project. I **certify**, to the best of my knowledge, that this disclosure of significant financial interests is complete and accurate.

Investigator Name: _____ Date: _____

Investigator Signature: _____