

DISCLOSURE OF SIGNIFICANT FINANCIAL INTEREST

DSP-05 NSF

All Investigator's (as defined below) must read, sign and submit this form to the Division of Sponsored Programs (DSP) with each grant application being submitted where the source of funding will be from the National Science Foundation (NSF), as the recipient or as a subrecipient, with the exception of STTR/SBIR Phase I projects, which have been exempted by federal rule.

Project Title: _____ **UF PI:** _____

Since October 1, 1995, federal regulations require universities manage, reduce, or eliminate any actual or potential conflict of interest that may be presented by compensated outside activities and other financial interests of Investigators (as defined below) who are involved in sponsored research projects funded by the NSF. The primary purpose of these federal regulations is to prevent bias in the design, conduct, or reporting of research projects. Investigators working on projects funded by the NSF must abide by these requirements.

“Investigator” is defined as the Principal Investigator, Co-Principal Investigator, or any other employee responsible for the design, conduct, or reporting the proposed or funded research or educational activities. “Investigator” for the purposes of determining a “Significant Financial Interest” includes the Investigator’s spouse and dependent children.

All Investigators involved in the grant application’s activities must report any “Significant Financial Interest” (as defined below) that would reasonably appear to be affected by the proposed or funded research activities, including interest maintained in entities that would be so affected.

“Significant Financial Interest” refers to salary or other payments for services, such as fees and honoraria; equity interests, such as stocks and stock options; and intellectual property rights, such as patents, copyrights, and royalties. A Significant Financial Interest does not refer to salary or other remuneration from the university; income derived from seminars, lectures or teaching engagements sponsored by public or nonprofit entities; income derived from service on advisory committees or review panels for public or nonprofit entities; or salary, royalties or other payments that, when aggregated for the Investigator and his or her spouse and dependent children, is not expected to exceed \$10,000 over a 12 month period. An equity interest that, when aggregated for the investigator, spouse, and dependent children, does not exceed \$10,000 and does not represent more than a five percent ownership interest in any entity is also not considered a Significant Financial Interest. Significant Financial Interests must be disclosed at the time of the proposal submission, but approval of the conflict of interest (with conditions if warranted) need not occur until the project has been funded, but prior to expenditure of any awarded funds. The federal regulations also require that the disclosures be made annually during the course of the research or as new reportable significant financial interests are obtained. The Investigator must file a new report if a new Significant Financial Interest is obtained, which is consistent with the university’s requirement that any material changes to outside activities and financial interests must be reported during the academic year. Review and approval or disapproval of the interests disclosed during the course of a research project must be accomplished within 60 days.

UF’s designated officials are responsible for reviewing each disclosure to determine if there is a conflict of interest. Under the federal regulations, if a Significant Financial Interest may directly and significantly affect the design, conduct, or reporting of the research a conflict will be deemed to exist. The University, through the department chairperson (or supervisor) and dean (or director), is required to manage, reduce or eliminate the conflict. Conditions that might be imposed in such cases include public disclosure of the conflict, modification of the research design, or monitoring of the research by independent reviewers. If adequate measures are not feasible, the investigator may have to discontinue the compensated activities or divest himself of the financial interest, or discontinue the research. The investigator must abide by the conditions under which the research is permitted.

I DO NOT have a Significant Financial Interest as described above.

I DO have a Significant Financial Interest as described above.

I declare that the information being disclosed is true and accurate under the regulations.

Sign: _____ Role: Check one, PI Co-PI Other Key Personnel

Print Name: _____ Date: _____