### SFI Disclosure Form for NSF Funded Investigators

Investigators engaged in, or planning to engage in, NSF-funded research activity are required to disclose to the Office of Research Administration, per the schedule below, any **significant financial interests (SFI) related to the investigator’s NSF-Funded Research Project**. The requirement for disclosure of SFI applies to all persons engaged in NSF-funded research activity as “investigators,” and includes (in aggregate) the financial interests of their spouse and/or dependent children. Principal Investigators involved with research collaborators, e.g., co-investigators, sub-grantees, subcontractors or consultants, must take steps to ensure their compliance with NSF and OU requirements, and compliance with any applicable management plans established by OU. An “Investigator” is defined as the Program Director/ Principal Investigator and any other person, such as the collaborators listed above, at any institution, regardless of title or position, which are responsible for the design, conduct or reporting of NSF-funded work or proposed work. SFI’s are required to be disclosed at the following time points: **SFI’s are required to be disclosed at the following time points:**

* No later than at the time of application for NSF-funded research; and
* At least annually, regardless of any changes, during the period of award; and
* No later than 30 days after discovering or acquiring a new SFI at any point in the research process.

**THIS FORM NEEDS TO BE COMPLETED ONLY IF AND WHEN AN INVESTIGATOR HAS SFI TO DISCLOSE.**

It is the investigator’s responsibility to comply with these rules and to submit the completed forms to ORA in a timely manner that is compliant with the timeline above. Completed forms must be delivered to ORA or e-mailed to FCOI@oakland.edu.

Date:

Investigator’s name:

University affiliation and position:

|  |  |
| --- | --- |
|  Investigator’s e-mail:       |  Phone:       |

|  |
| --- |
| Title of project: l |

NSF Grant Number:

|  |  |
| --- | --- |
|  Starting date of project:       |  End date of project:       |

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| Investigator’s role on project (provide general role, such as “Principal Investigator” or “Key Personnel,” Consultant,” and then explain what you will be doing on the project, in a single paragraph):       |
| If you are the PI, list collaborators, or “none”:       |

### Disclosure of Significant Financial Interests (SFI)

SFI means a financial interest consisting of one or more of the following interests *(including those of the Investigator's spouse and/or dependent children, in aggregate)* that reasonably appear to be related to the Investigator's *Research responsibilities*. Answer all of the questions below for each category of SFI, and then complete the table:

1. With regard to any **publicly traded entity**, a SFI exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure and the value of any equity interest in the entity as of the date of disclosure, when aggregated, equals or exceeds $10,000. *Check all of the following that apply with regard to category #1:*

[ ]  I personally have no SFI to disclose in this category.

[ ]  My immediate family members have no SFI to disclose in this category.

[ ]  I personally have SFI to disclose in this category. *(List in table below)*

[ ]  My immediate family members have SFI to disclose in this category. *(List in table below)*

1. **Remuneration** that includes salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship); equity interest includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value, that when aggregated equals or exceeds $10,000. *Check all of the following that apply with regard to category #2:*

[ ]  I personally have no SFI to disclose in this category.

[ ]  My immediate family members have no SFI to disclose in this category.

[ ]  I personally have SFI to disclose in this category. *(List in table below)*

[ ]  My immediate family members have SFI to disclose in this category. *(List in table below)*

1. With regard to any **non-publicly traded entity**, a significant financial interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure, when aggregated, exceeds $10,000, or when the Investigator (or the Investigator's spouse and/or dependent children) holds any equity interest (e.g., stock, stock option, or other ownership interest). *Check all of the following that apply with regard to category #3:*

[ ]  I personally have no SFI to disclose in this category.

[ ]  My immediate family members have no SFI to disclose in this category.

[ ]  I personally have SFI to disclose in this category. *(List in table below)*

[ ]  My immediate family members have SFI to disclose in this category. *(List in table below)*

1. **Intellectual property** rights and interests (e.g., patents, copyrights), upon receipt of income that exceeds $10,000 related to such rights and interests. *Check all of the following that apply with regard to category #4:*

[ ]  I personally have no SFI to disclose in this category.

[ ]  My immediate family members have no SFI to disclose in this category.

[ ]  I personally have SFI to disclose in this category. *(List in table below)*

[ ]  My immediate family members have SFI to disclose in this category. *(List in table below)*

### Table: SFI Disclosures for NSF Funded Research

**Instructions:** For each category described above, for which you indicated that you or your immediate family (in aggregate) **have SFI related to your responsibilities** for your NSF grant, provide the dollar amount of your SFI in the column under the appropriate dollar range (e.g. if you have SFI in the amount of $11,500 in category #1, enter this amount in the column marked “$10,000-$19,999”). Then provide your opinion about whether the SFI constitutes a conflict of interest related to the NSF-funded research project. If you need more rows for your disclosures, attach additional copies of the table.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Category |  $10,000-$19,999 |  $ 20,000-$100,000 | >$100,000 | Other\* | Related to NSF-Funded Project? |
| Yes | No |
| 1Publicly Traded Entities |       |       |       | [ ]  | [ ]  | [ ]  |
|       |       |       | [ ]  | [ ]  | [ ]  |
|       |       |       | [ ]  | [ ]  | [ ]  |
|       |       |       | [ ]  | [ ]  | [ ]  |
| 2Remuneration |       |       |       | [ ]  | [ ]  | [ ]  |
|       |       |       | [ ]  | [ ]  | [ ]  |
|       |       |       | [ ]  | [ ]  | [ ]  |
|       |       |       | [ ]  | [ ]  | [ ]  |
| 3Non-Publicly Traded Entities |       |       |       | [ ]  | [ ]  | [ ]  |
|       |       |       | [ ]  | [ ]  | [ ]  |
|       |       |       | [ ]  | **[ ]** [ ]  | [ ]  |
|       |       |       | [ ]  | [ ]  | [ ]  |
| 4Intellectual Property |       |       |       | [ ]  | [ ]  | [ ]  |
|       |       |       | [ ]  | [ ]  | [ ]  |
|       |       |       | [ ]  | [ ]  | [ ]  |
|       |       |       | [ ]  | [ ]  | [ ]  |

**\*Other:** Put a check in this column if the interest is one whose value cannot be readily determined through reference to public prices or other reasonable measures of fair market value.

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| **Comments that you think would be helpful to the FCOI reviewer:** |

By signing or electronically entering my name and date in the boxes below, I attest that the information I entered above is accurate and complete to the best of my knowledge.

|  |  |
| --- | --- |
|  Name:       | Date:       |