



## **Key Definitions**

**Investigator** is inclusively defined as anyone, regardless of title, who is responsible for the design, conduct, or reporting of research which may include, for example, collaborators, consultants, data safety management board members, technical research personnel, and students.

**Institutional responsibilities** means an Investigator's professional responsibilities on behalf of the Institution, and as defined by the Institution in its policy on financial conflicts of interest, which may include for example, activities such as research, research consultation, teaching, professional practice, institutional committee memberships, and service on panels such as Institutional Review Boards and Data and Safety Monitoring Boards.

**Significant Financial interests** may consist of one or more of the following interests of the Investigator (and those of the Investigator's spouse and dependent children) that reasonably appear to be related to the Investigator's institutional responsibilities and research. Specifically:

- a) **Salary, income, honoraria, royalties, dividends, consulting, loans**, or other payment or consideration with value (including payments made to Cal Poly and equipment loans) from any business, public, or nonprofit entity exceeding **\$5,000** during the prior twelve months, aggregated for the Investigator, spouse, and dependent children, **except** salary, royalties, or other remuneration paid by Cal Poly to the Investigator if the Investigator is currently employed or otherwise appointed by Cal Poly. This excludes income from service on advisory committees or review panels for a Federal, state, or local government agency, an institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education.
  - i. Also included are new sources of income such as: **"paid authorship"**
- b) **Equity interest in publically traded companies** (stock, stock options, real estate, etc.) that exceeds \$5,000, **except** investment vehicles where the Investigator does not directly control the decisions made in these vehicles (mutual funds, retirement accounts, etc).
- c) Any **equity interest in non-publically traded stock**, stock options or real estate.
- d) **Management position** such as board member, director, officer, partner, or trustee held by the Investigator.
- e) **Intellectual property** interest held by the Investigator, spouse, and dependent children assigned or to be assigned to a party **except** intellectual property rights assigned to Cal Poly and agreements to share in royalties related to such rights.
- f) **Reimbursed travel or travel paid** on behalf of the Investigator related to Investigators' institutional responsibilities including teaching, research, and other activities **except** for travel reimbursed or sponsored by a Federal, state, or local government agency, an institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education.

The term **significant financial interest does not include** the following types of financial interests: salary, royalties, or other remuneration paid by the Institution to the Investigator if the Investigator is currently employed or otherwise appointed by the Institution, including intellectual property rights assigned to the Institution and agreements to share in royalties related to such rights; income from investment vehicles, such as mutual funds and retirement accounts, as long as the Investigator does not directly control the investment decisions made in these vehicles; income from seminars, lectures, or teaching engagements sponsored by a Federal, state, or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education; or income from service on advisory committees or review panels for a Federal, state, or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education.

### **Public Health Service Agencies:**

1. Agency for Healthcare Research and Quality (AHRQ)
2. Agency for Toxic Substances and Disease Registry (ATSDR)
3. Centers for Disease Control and Prevention (CDC)
4. Food and Drug Administration (FDA)
5. Health Resources and Services Administration (HRSA)
6. Indian Health Service (INS)
7. National Institutes of Health (NIH)
8. Substance Abuse and Mental Health Services Administration (SAMHSA)

**California Polytechnic State University, San Luis Obispo**  
**Disclosure of Financial Interests Related to Sponsored Projects**  
**Financial Interest Description (Form 800-Ub)**

Investigators who indicated YES to question 2 on form 800-Ua must complete this form for each entity with which the Investigator has a Significant Financial Interest (SFI), as defined on the second page of form 800-Ua. The information may be released to sponsoring agency personnel or members of the public upon request. The purpose of collecting this information is to comply with federal regulations on Disclosure of Financial Interests Related to Sponsored Projects. Office of Record: Grants Development Office .

**Investigator Making Disclosure:** \_\_\_\_\_, \_\_\_\_\_ MI  
 Last Name First Name

**Entity: Name** \_\_\_\_\_  
**Address** \_\_\_\_\_

- 1. Type of Entity:**  
 Business  Other (explain): \_\_\_\_\_  
 Non-profit \_\_\_\_\_  
 Government \_\_\_\_\_

**2. To what area of your research is this Entity related?**  
 \_\_\_\_\_

**3. What is the principal business of this Entity?**  
 \_\_\_\_\_

**4. Do you, your spouse, or dependent child(ren) hold a position of management with the Entity, such as board member, director, officer, partner, trustee or employee?**  
 No  Yes - Specify: \_\_\_\_\_

**5. Excluding gifts, contracts, or grants administered by Cal Poly, have you, your spouse, or dependent child(ren) received income of \$5,000 or more from the Entity within the previous 12 months?**  
 No  Yes - Amount \$ \_\_\_\_\_  
 (estimated)

**6. Do you, your spouse, or dependent child(ren) hold or have Equity interest exceeding \$5,000 or 5% ownership (stock, stock option, real estate, investment, or other ownership) in this Entity?**  
 No  
 Yes: \$ \_\_\_\_\_; \_\_\_\_\_ %  
 (estimated) (estimated)

**7. Are you a consultant with this entity?**  
 No  Yes - Specify: \_\_\_\_\_

**If yes, do the terms of your consulting restrict the release of information or dissemination of results?**  
 No  Yes - Specify: \_\_\_\_\_

**8. Is or will the Entity be involved with the sponsored project as a subcontractor, consortium member, supplier of goods, lessor, or other participant?**  
 No  Yes - Specify: \_\_\_\_\_

**9. Does the Entity hold interests to a pending application or issued patent to an invention(s), license rights, or copyright for software of yours, your spouse, or dependent child(ren)?**  
 No  
 Yes, but the license is from the University  
 Yes, and the application, patent or license is NOT from the University

**10. Does or will the entity manufacture or commercialize any device, procedure, drug, vaccine, or other product that is associated with or that will predictably result from the project?**  
 No  Yes - Specify: \_\_\_\_\_

**11. Does or will the entity manufacture or commercialize any device, procedure, drug, vaccine, or any other product that may compete with products that may result from the project?**  
 No  Yes - Specify: \_\_\_\_\_

**12. Is it reasonable to anticipate that the entity could be affected by the design, conduct, or reporting of the proposed research activity?**  
 No  Yes - Explain how: \_\_\_\_\_

**13. How are you keeping your interest in, and obligations to, the entity separate from your University research?**  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

## Certification – Foreign Relationship Disclosures

Proposals to federal and federal flow-through sponsors require active and timely disclosure of foreign relationships in proposal and award reporting documents, such as biographical sketches, current and pending forms, other support forms, just-in-time responses, annual reports, and final reports. These disclosures must be made in accordance with the guidance from the relevant sponsor agency/organization.

This form certifies that you are aware of the disclosure requirements and have/will provided the necessary information in accordance with the guidance from the relevant sponsor agency/organization.

1. I have reviewed and will follow all agency requirements regarding disclosure of professional positions.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
2. I have reviewed and will follow all agency requirements regarding disclosure of research support.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
3. I have reviewed and will follow all agency requirements regarding disclosure of research activity currently funded or under consideration for funding.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
4. I have reviewed and will follow all agency requirements regarding disclosure of in-kind contributions that support research activities, from domestic and foreign institutions or governments.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
5. I currently have or am intending to enter into a consulting, academic appointment, employment, visiting scholar, or relationship with a non-US entity that was not formalized with Cal Poly through Advancement; Research, Economic Development, and Graduate Education; Contracts and Procurement; or Continuing Education.  5a. If yes, I certify that the above relationship is/will be listed on my Current and Pending form, Other Support form, and Biosketch, if required by the agency.	Yes <input type="checkbox"/>  Yes <input type="checkbox"/>	No <input type="checkbox"/>  N/A <input type="checkbox"/>

**I confirm that I have reviewed the agency disclosure requirements and I understand that I am responsible for accurately and fully reporting the required information to the sponsor. Further, I certify, to the best of my knowledge, that the information that was included in the proposal is complete, accurate, and compliant with agency policies.**

Investigator signature/approval: \_\_\_\_\_

Investigator typed name: \_\_\_\_\_

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