California Polytechnic State University
San Luis Obispo
Disclosure of Financial Interests Related to Sponsored Projects
Financial Interest Cover Page
(Form 800-Ua)

Completion of this form (800-Ua) is required at submission for proposals submitted to the National Science Foundation and the National Institutes of Health. This includes the PI and any other person responsible for the design, conduct, or reporting of research funded by PHS/NSF. It also includes the investigators' spouse and dependent children.

Type of Disclosure: ☐ New ☐ Update

Lead Principal Investigator: _____, _____ ___
Last Name First Name MI

The Lead Principal Investigator is responsible for ensuring that all investigators submit disclosures.

Investigator Making Disclosure: _____, _____ ___
Last Name First Name MI

_____
Department (submitting proposal) Extension

Proposed Project Title: _____

Sponsor: _____

Do you, your spouse, or dependent children, have any financial interests related to the work to be conducted under the sponsored project?

☐ Yes ☐ No

*If YES, list below the name of each entity in which you have a related financial interest and attach a separate **Description of Financial Interest (800-Ub)** for each entity.*

_____ _____

_____ _____

_____ _____

Verification

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

_____ _____
Signature of Disclosing Investigator Date

Designated Reviewing Official Only

☐ This sponsored project is **NOT** reasonably expected to have a "direct and significant" impact on the disclosed financial interest; and the financial interest could **NOT** affect the design, conduct, or reporting of the sponsored project. No further action is required.

☐ This sponsored project **MAY** reasonably have a "direct and significant" impact on the disclosed financial interest; or the financial interest **MAY** affect the design, conduct, or reporting of the project. Further review is required by the Conflict of Interest Committee.

_____ _____
Signature of Designated Reviewing Official Date

(Retention: Three (3) years after termination of sponsored project or until resolution of any action by sponsor, whichever is longer)

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

Provision of the information on this form is mandatory for any person who wishes to be an Investigator on a research, training, or public service project. The information may, under the California Public Records Act, 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: _____, _____ _____
Last Name First Name MI

Entity: Name _____

Address _____

1. Type of Entity:

☐ Business ☐ Other (explain):
☐ Non-profit _____
☐ Government _____

2. What area of your research does this Entity relate to?

_____

3. Do you, your spouse, or dependent child(ren) hold or have Equity interest exceeding $10,000 or 5% ownership (stock, stock option, real estate, investment, or other ownership) in this Entity?

☐ No
☐ Yes: $ _____ (estimated) ; _____ % (estimated)

4. Excluding gifts, contracts, or grants administered by the University or Foundation, have you, your spouse, or dependent child(ren) received in the previous 12 months income exceeding $10,000 from the Entity?

☐ No ☐ Yes - Amount $ _____ (estimated)

5. 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: _____

_____

6. Does the Entity hold rights 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

7. Is the entity proposed to be a subcontractor, consortium member, supplier of goods, lessor, or otherwise involved with the sponsored project?

☐ No
☐ Yes - Specify: _____

_____

_____

8. Does or will the entity manufacture or commercialize any device, procedure, drug, vaccine, or any other product that is associated with or that will predictably result from the project?

☐ No
☐ Yes - Specify: _____

_____

_____

9. Is it reasonable to anticipate that the entity could be directly and significantly affected by the design, conduct, or reporting of the proposed research activity?

☐ No
☐ Yes - Explain how: _____

_____

_____

_____

10. How are you keeping your interest in, and obligations to, the entity separate from your University research?

_____

_____

_____

_____

_____

(Retention: Three (3) years after termination of sponsored project or until resolution of any action by sponsor, whichever is longer)