

State University of New York at New Paltz Disclosure of Financial Interests and Obligations

All SUNY New Paltz investigators seeking external funding to conduct scholarly activities are required to complete and file a signed disclosure form before a proposal can be endorsed for submission (for PHS, this does not apply to SBIR Program Phase I applications) or prior to establishment of an account in instances where proposal submission is not required prior to award of funds. Certification must always be current, so a new form must be submitted in each reporting year (September 1 – August 31) and its accuracy will be certified for each new proposal submission during that year. During the period of an award, all financial disclosures must be updated as new reportable significant financial interests are obtained. The purpose is to promote objectivity in research by establishing standards to ensure there is no reasonable expectation that the design, conduct, or reporting of research will be biased by any conflicting financial interest of an investigator.

Specific Instructions: Complete name and department/school, place a check in the appropriate column for each question and sign at the bottom. If the answer to any question is ‘Yes,’ please explain on the reverse side of this form.

Investigator Name:		
Department/School:		
Questions	Yes	No
1. Do you, your spouse or dependent child(ren) hold a position of management (board member, director, officer, partner, trustee, employee or consultant) with a sponsor, vendor or (sub) contractor related to the sponsored program activity?		
2. Do you, your spouse or dependent child(ren) have significant financial interest in a Sponsor, vendor or (sub) contractor related to your sponsored program activity? See definition below for ‘significant financial interest’.		
3. If your answer to number 2 is ‘yes’, is it reasonable to anticipate that your financial interest could be directly and significantly affected by the design, conduct, or reporting of your sponsored program activity?		
Investigator Certification: <ul style="list-style-type: none"> • I have read and understood the policy on conflict of interest as well as the Statement and Procedure on the reverse. • I agree to file a new or updated disclosure form if the answer to any of the above questions changes. • I certify that the answers to the declaration are accurate and truthful to the best of my knowledge. • I have been provided, as appropriate, with a copy of 42CFR50 (PHS) or Chapter IV A, Award and Administration Guide (NSF). 		
Signature: _____ Date: _____		

Definitions

Investigator means the principal investigator, co-principal investigator, project director, co-project director and any other person, e.g. award manager, who is responsible for the design, conduct or reporting of research or educational activities or for such activities that are proposed for funding. For purposes of these requirements, ‘Investigator’ includes the investigator’s spouse and dependent children.

Significant financial interest 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) valued, when aggregated for the investigator and the investigator’s spouse and dependent children, more than \$10,000 or 5% ownership. Salary, royalty or other payments, when aggregated for the investigator and the investigator’s spouse and dependent children, must exceed, or be expected to exceed, \$10,000 per year.

Small Business Innovation Research (SBIR) Program means the extramural research program for small business that was established under PL 97-219 and includes, for the purposes of PHS conflict of interest regulations, the Small Business Technology Transfer (STTR) Program established by PL 102-564.

PHS means the Public Health Service, an operating division of the U.S. Department of Health and Human Services, and any components of the PHS to which the authority involved may be delegated.

