



# Conflict of Interest Disclosure Form

## FOR GRANT APPLICATIONS TO THE FEDERAL GOVERNMENT

If you are applying for a **Federal grant** which would be administered by the College, complete and return this form to Director of Corporate, Foundation, and Government Relations Lisa Emery – [lemery@austincollege.edu](mailto:lemery@austincollege.edu)

---

Name

Proposal Title

Grant Period

Funding Agency

Start date

Submission Date

End date

### I. Conflict of Interest Disclosure

1. I have read and agree to be bound by the College's Conflict of Interest Policy for Faculty and Staff found in the [Austin College Operational Guide](#) and the conditions below, which applies to all members of Austin College's faculty or staff who are involved in grants and contracts sponsored by the Federal government. **Federal regulations require faculty and staff to renew this certification annually or as new reportable significant financial interests are obtained.**
  - All Principal Investigators (PIs) and all other investigators/personnel who have or share responsibility for the design, conduct, or reporting of NSF sponsored projects must disclose all significant financial interests of the investigator (including those of the investigator's spouse/registered domestic partner and dependent children) (i) that would reasonably appear to be affected by the research or educational activities funded or proposed for funding by NSF; or (ii) in entities whose financial interests would reasonably appear to be affected by such activities.
  - Significant financial interests are involved and must be disclosed where one or more of the following financial interests of the investigator (and those of the investigator's spouse/domestic partner and dependent children) reasonably appears to be related to the investigator's Institutional responsibilities.
  - A significant financial interest exists if an equity interest that, when aggregated for the investigator and the investigator's spouse/domestic partner and dependent children, exceeds \$10,000 in value as determined through reference to public prices or other reasonable measures of market value, and represent more than a 5% ownership interest in any single entity.
  - A significant financial interest exists when salary, royalties or other payments that, when aggregated for the investigator and the investigator's spouse/domestic partner and dependent children, have exceeded or are expected to exceed \$10,000 during any immediately preceding or following 12 month period.
  - For NSF, significant financial interest does not include:
    - Salary, royalties or other remuneration from the applicant Institution
    - Any ownership interest in the Institution, if the Institution is an applicant under the Small Business Innovation Program or Small Business Technology Transfer Program
    - Income from seminars, lectures, or teaching engagements sponsored by public or nonprofit

Updated 11/2020



# Conflict of Interest Disclosure Form

entities

- Income from service on advisory committees or review panels for public or nonprofit entities
- Equity interest and/or salary, royalty and other payments do not exceed the thresholds in the section regarding NSF immediately above

2. Do you or a member of your family have a "significant financial interest" as that term is defined above?

**No, I/we do not.**

**Yes, I/we do. Describe the nature of this conflict with this form.**

## II. Debarment and Suspension Certification

1. The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals: (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from a covered transaction by any Federal department or agency; (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
2. Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall include an explanation with this proposal.

### Certification

I certify that the foregoing and proposal application information is true, complete, and accurate to the best of my knowledge; that I understand that any false, fictitious, or fraudulent statements may subject me to criminal, civil, or administrative penalties; and that I agree to accept responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of the application.

Signature \_\_\_\_\_

Date \_\_\_\_\_