

**MILLERSVILLE UNIVERSITY  
PROPOSAL APPROVAL FORM**

This form, including the financial disclosure form, must be completed and signed by the PI, department chair, appropriate dean, and the **officers listed below before the proposal is submitted. This completed form, including the attached financial disclosure and conflict of interest forms, must be submitted with the proposal for signatures at least seven working days prior to the due date of the proposal.**

A copy of this completed form will be sent to all signatories for their records following submission of the grant.

NAME \_\_\_\_\_ M# \_\_\_\_\_ DEPT. \_\_\_\_\_

PROJECT TITLE: \_\_\_\_\_

PROPOSAL DUE DATE: \_\_\_\_\_ (☒ postmark or ☒ received by?) TODAY'S DATE: \_\_\_\_\_

FUNDING AGENCY: \_\_\_\_\_ PERIOD OF GRANT: \_\_\_\_\_ to \_\_\_\_\_

GRANT AMOUNT: \$ \_\_\_\_\_ (If Millersville will be a subawardee, list the amount MU will receive if the proposal is funded)

TOTAL REQUESTED FROM GRANTOR: \$ \_\_\_\_\_

UNIVERSITY MATCHING FUNDS: \$ \_\_\_\_\_

**Kind, Source and Amount of Matching Funds**

Soft Dept: \_\_\_\_\_ CstCtr \_\_\_\_\_ \$ \_\_\_\_\_  
 Other: \_\_\_\_\_ CstCtr \_\_\_\_\_ \$ \_\_\_\_\_  
 Real Dept: \_\_\_\_\_ CstCtr \_\_\_\_\_ \$ \_\_\_\_\_  
 Other: \_\_\_\_\_ CstCtr \_\_\_\_\_ \$ \_\_\_\_\_

| <u>Complement needs:</u> | <u>FTE/Credit</u> |
|--------------------------|-------------------|
| Additional Staff:        | Yes / No _____    |
| Release Time:            | Yes / No _____    |
| Overload:                | Yes / No _____    |
| Dual Compensation:       | Yes / No _____    |
| FGS use only:            |                   |

IS THIS A COLLABORATIVE PROPOSAL?  Yes  No

If this is a collaborative proposal, what is your role:  PI  co-PI  Subawardee  NA

IF THIS PROPOSAL IS FUNDED, WILL MILLERSVILLE PROVIDE FUNDS TO A SUBAWARDEE?  Yes  No

If yes, please list name and contact information for the organization to which the subaward will be made:

If this proposal will provide funds to a subawardee, then a copy of the subawardee institutions most recent financial audit must accompany this form. This document should be available from the subawardee institution's sponsored projects office. The Millersville Office of Government and Foundation Support (ext. 4457) can assist in obtaining this or a comparable document.



# Millersville University

## Financial Disclosure/Conflict of Interest

Federal regulations require institutions to have policies and procedures in place that ensure that Investigators disclose any significant financial interest that may present an actual or potential conflict of interest in relationship to externally sponsored projects. Such disclosures must be made **prior to the submission of a proposal** for funding\*, and institutions must develop specific mechanisms by which conflicts of interest will be satisfactorily managed, reduced, or eliminated prior to the expenditure of any funds on an award.

### What must be disclosed?

Each Investigator shall disclose all *significant financial interests*:

1. That would reasonably appear to be affected by the research, educational, or service activities funded, or proposed for funding, by an external sponsor; or
2. In entities whose financial interests would reasonably appear to be affected by such activities.

**"Significant financial interests"** means anything of monetary value, including, but not limited to, salary or other payments for services (e.g., consulting fees or honoraria); equity interests (e.g., stocks, stock options, or other ownership interests); and intellectual property rights (e.g., patents, copyrights, and royalties from such rights). The term **does not include**:

1. Salary, royalties, or other remuneration from Millersville University;
2. Income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities;
3. Income from service on advisory committees or review panels for public or nonprofit entities; or
4. An equity interest that when aggregated for the Investigator and the Investigator's spouse and dependent children, meets both of the following tests: does not exceed \$10,000 in value as determined through reference to public prices or other reasonable measures of fair market value, or, constitute more than a five percent ownership interest in any single entity; or
5. Salary, royalties or other payments that when aggregated for the Investigator and the Investigator's spouse and dependent children over the next twelve months, are not expected to exceed \$10,000.

### Disclosure Procedures:

1. In accordance with Federal regulations, a complete disclosure must be made by Investigator(s) *prior to submission of the proposal*.
2. If a PI holds a significant financial interest in a sponsor, they must disclose this interest to the University by utilizing the attached form. The completed forms must be signed by the investigator and returned with explanations to the Dean of Research, who will review and maintain these files. All information will be kept confidential.
3. Resolutions to conflicts of interest will be incorporated into a Memorandum of Understanding between the Investigator(s) and the University [signed by Investigator(s), and the Dean prior to expenditure of any award funds.

## Millersville Financial Conflict of Interest Questionnaire

All investigators must respond to the following questions by checking the "Yes" or "No" boxes. If you answer yes to any of the following questions, please complete the attached Financial Disclosure Form.

1. Are you, your co-PIs or your immediate family members, major officers of, or employees with a managerial role, or have a **significant financial interest** in the proposed sponsors?\* (See Conflict of Interests Policy for further explanation. The full policy can be found at: <http://www.millersville.edu/development/grant/policies.php>).

NO       YES

2. Do you or your co-PIs have a consulting relationship with this sponsor?

NO       YES

3. Has this sponsor provided you or your department/unit with any gifts or funds?

NO       YES

4. Do you or your co-PIs have any relationships, commitments including assignments of Intellectual Property Rights), activities (including uncompensated activities) or financial/fiduciary interests that present potential or apparent conflict of interests or commitments with the project?

NO       YES

Signed \_\_\_\_\_

Date \_\_\_\_\_

\* If a new reportable significant conflict of interest materialize at any time during the period after the submission of the proposal through the period of the award, the filing of a disclosure is also required.

**Millersville University**  
**Financial Interest Disclosure Form**

Name \_\_\_\_\_ Dept. \_\_\_\_\_ School \_\_\_\_\_

Project Title: \_\_\_\_\_

Funding Agency: \_\_\_\_\_

I am disclosing the following significant financial interests (check one) and attaching supporting documentation (in an envelope marked confidential) that identifies the business enterprise or entity involved, the nature and amount of the interest, and suggestions for managing this potential conflict of interest.

\_\_\_\_\_ Salary or other payment for services (e.g., consulting fees or honoraria).

\_\_\_\_\_ Equity interests (e.g., stocks, stock options, or other ownership interests).

\_\_\_\_\_ Intellectual property rights (e.g., patents, copyrights, and royalties from such rights).

\_\_\_\_\_ Other significant financial interest of the Investigator that possibly could affect or be perceived to affect the results of the research, educational, or service activities funded or proposed for funding.

**Further I agree:**

- To update this disclosure during the period of the award as new reportable significant financial interests materialize.
- To cooperate in the development of a Memorandum of Understanding (MOU) that constitutes a conflict of interest "resolution plan."
- To comply with any conditions or restrictions imposed by the University to manage, reduce, or eliminate actual or potential conflicts of interest or forfeit the award.
- To have a fully-executed MOU in place prior to making any expenditures of sponsored project funds.

Signed: \_\_\_\_\_

Signed

Date

I have reviewed the significant financial interest disclosure and believe that it will be possible to develop and execute, prior to expenditure of award funds, an MOU to manage, reduce, or eliminate any actual or potential conflict of interest; and, therefore, I recommend that that proposal be submitted to the agency at this time.

Dean Jane Bray, Research Compliance : \_\_\_\_\_

Signed

Date

School Dean: \_\_\_\_\_

Signed

Date