

## UK Supplemental Disclosure for Organizational Conflicts of Interest

Name:

Project Title:

Sponsor/Funding Opportunity:

**Instructions:** Please answer each question below and sign.

Did you provide Systems Engineering and Technical Assistance (SETA) or Advisory and Assistance Services (A&AS) for the above listed funding opportunity?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Have you served as a technical advisor or consultant for the above listed funding opportunity?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Did you have access to proprietary or confidential information related to above listed funding opportunity that was otherwise unavailable to other applicants?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Do you (including your spouse, partner, or dependent children) have, or have had in the previous 12 months, a financial interest in an entity that will be a sub-recipient or sub-contractor as part of this proposal? (Select 'No' if there are no sub-recipients or subcontracts associated with this proposal.)	<input type="checkbox"/> Yes <input type="checkbox"/> No
Have you been asked to evaluate the performance or products of anyone else competing for the same funding?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Have you provided SETA, A&AS or similar support to any sponsor office under (a) the current award or subaward; or (b) a past award or subaward that ended within one calendar year prior to the proposal submission date?	<input type="checkbox"/> Yes <input type="checkbox"/> No

If you answered yes to any of the questions listed above, please provide additional details below including nature of interest(s) and term of relationship (past, present, future):

I certify the information provided is true and complete to the best of my knowledge and belief.

I agree to update this information within 30 days if I become aware of new information that would result in a change to any of my above responses.

Signature of Discloser

Name of Discloser

Date

## Helpful definitions:

- **Organizational Conflict of Interest (OCI):** An OCI is a circumstance in which an institution (or a researcher at the institution), may have unequal access to information or a conflicting role that might bias judgement in the proposal for, or conduct of, research. The existence of an OCI may mean a researcher is unable or potentially unable to render impartial assistance or advice to the sponsor, is potentially biased in the identification or selection of sub-contractors, might have impaired objectivity in performing the research, or may have an unfair competitive advantage in applying for research funding.
- **Systems Engineering and Technical Assistance (SETA):** Typical SETA efforts may involve performing acquisition assistance, project management, price or program analysis, independent estimates, administrative support, computer and database operations, technical and security services, facilities maintenance functions, or similar tasks.
- **Advisory and Assistance Services (A&AS):** These services may take the form of information, advice, opinions, alternatives, analyses, evaluations, recommendations, training, or technical support.

### *Types of OCI include*

- Unequal access to information:
  - An unfair competitive advantage resulting from obtaining information not generally available to others seeking federal funding.
- Impaired objectivity:
  - Assessing performance or evaluating products of someone within your own organization or a direct competitor seeking federal funding.
  - Recipient is unable or appears to be unable to be impartial in conducting an action involving a related organization because of relationships with a parent company, affiliate, or subsidiary organization.
- Biased ground rules:
  - Having provided engineering or technical assistance or written the work requirements for a funding opportunity where someone within your own organization is an applicant.

### *Examples*

- A faculty member provides a sponsor with technical direction for the development of a Broad Agency Announcement (BAA). If anyone from their institution submits a proposal pursuant to that BAA an organizational conflict of interest may be created (due to biased ground rules). There may be exceptions.
- A researcher collaborates on a project for a sponsor and has access to confidential government information. Another researcher at the same institution submits a proposal for funding to the sponsor to the same scientific area. This may create an organizational conflict of interest (due to unequal access to information).
- The institution receives royalties for licensed intellectual property (IP) developed by one of its researchers. Another researcher at the same institution submits a grant that will be evaluating the licensed IP. This may create an organizational conflict of interest (due to impaired objectivity or inability to remain impartial).

*Note: Serving as a grant reviewer would typically not create an OCI.*