

California State University, Fullerton
FEDERAL FINANCIAL CONFLICT OF INTEREST (FCOI) Form
PHS & non-PHS agencies complying with PHS FCOI

PRINCIPAL INVESTIGATOR

Under CSUF's Conflict of Interest policy, the Principal Investigator and all other investigators/personnel who have or share responsibility for the design, conduct, or reporting of PHS sponsored projects must report their personal financial interests in any organization(s) that, to the best of the Investigator's knowledge, may be related to their institutional responsibilities.

Sponsor: _____

Other: _____

Reason for Disclosure: _____

New Interest Obtained (Previous Proposal / Award #, if applicable): _____

Title of Proposal: _____

Project Start Date: _____ Project End Date: _____

DISCLOSURE AND CERTIFICATION

The Principal Investigator's signature certifies that all individuals required to make disclosures of Significant Financial Interests have been listed on this form, or that no other individuals working on the research are required to make disclosures.

1. Are there other Investigators/key personnel who share responsibility for the design, conduct, or reporting of the research?

NO YES

If **YES**, those Investigators/key personnel should be identified in the table below. This would include co-PIs, co-Is, consultants, sub-recipients, or any others who have, or share, responsibility for the design, conduct, or reporting of this PHS - sponsored project. Each identified personnel will be directed to this form and will be required to complete their disclosures.

Name	Institution/Entity	Role

Name	Institution/Entity	Role

2. Do you, your spouse or registered domestic partner, or dependent children have a Significant Financial Interest (i) that would reasonably appear to be affected by the research or educational activities funded or proposed for funding by NSF, USDA, and other applicable agencies; or (ii) in entities whose financial interests would reasonably appear to be affected by such activities. (See reverse for definitions of Significant Financial Interests)

NO YES (If response is "Yes" please complete and attach Conflict of Interest Addendum Form)

Print or Type Name: _____

Signature: _____

Date: _____

OGC Project # _____

CALIFORNIA STATE UNIVERSITY, FULLERTON
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PRINCIPAL INVESTIGATOR

Institutional Responsibilities

Institutional responsibility refers to an Investigator's professional responsibilities on behalf of the Institution, and as defined by the Institution in its policy on financial conflicts of interest, which may include for example: activities such as research, research consultation, teaching, professional practice, institutional committee memberships, and service on panels such as Institutional Review Boards or Data and Safety Monitoring Boards.

Significant Financial Interests

Significant Financial Interests ("SFI") include but are not limited to:

1. For a publicly traded entity: Income or other payment for services including salary, and any payment for services not otherwise identified as salary, including but not limited to, consulting payments, honoraria, paid authorship, or any other payments or consideration of value, including payments made to a health sciences compensation plan, received during the prior 12 months and the value of any equity interest (including stock, stock options or other ownership interests, as determined by public prices or other reasonable measure of fair market value) in the entity as of the date of disclosure, which when aggregated, exceeds \$5,000.

[Investigators are not required to disclose SFI in mutual funds or other investment vehicles such as retirement funds as long as the Investigator does not directly control the investment decisions made for these investment vehicles.]

2. For a non-publicly traded entity: Income or other payment for services including salary, and any payment for services not otherwise identified as salary, including but not limited to, consulting payments, honoraria, paid authorship, any other payments or consideration of value, including payments made to a health sciences compensation plan, received during the prior 12 months that exceeds \$5,000, or equity interest of any amount, including, but not limited to stock, stock options, or ownership interest in the entity.

[Investigators are not required to disclose **(a)** payments made by CSUF or its auxiliaries, including salary, stipends, royalty payments, honoraria, reimbursement of expenses, or any other remuneration from CSUF or its auxiliaries; or

(b) income for seminars, lectures, teaching engagements, or service on advisory committees or review panels sponsored by federal, state or local governments, a US institution of higher education, or a research institute, academic medical center or hospital that is affiliated with an institution of higher education] so long as they do not involve contractual obligations that would conflict with the researcher's obligations as an CSUF employee under the terms of the University's patent, copyright or other intellectual property policies or its Professional Activities.]

3. Intellectual property rights and interests: Income received during the previous 12 months that exceeds \$5,000 for such rights and interests.

[SFIs do not include royalties received from CSUF or its auxiliaries related to patents or copyrights]

4. Travel: The occurrence of any sponsored or reimbursed travel (for the Investigator only) must be disclosed whether payment is made to the Investigator directly, or expenses are paid on behalf of the Investigator by a for-profit or non-profit organization:

- a) Either prospectively, by listing all travel that the Investigator anticipates will be sponsored or reimbursed during the next 12 months, or
- b) Within 30 days of the occurrence if the trip wasn't reported prospectively.

[Investigators are not required to disclose travel that is reimbursed or sponsored by federal, state or local governments, a US institution of higher education, or a research institute, academic medical center or hospital that is affiliated with an institution of higher education.]

PLEASE NOTE: Under the California Public Records Act, this information may be made available to the public upon request.