

## FCOI Disclosure Requirements by Funding Source

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STATE LAW ( <a href="#">FPPC – Nongovernmental Funding</a> )	FEDERAL POLICY ( <a href="#">NSF/USDA/NASA Funding</a> )	FEDERAL REGULATIONS ( <a href="#">PHS/DOE* Funding</a> )
REPORTING TRIGGERS		
<ul style="list-style-type: none"> <li>Research contract/grant from a non--governmental entity</li> <li>Research Gifts earmarked for a specific individual or a specific research project</li> <li>Material Transfer Agreement</li> </ul> <p>Note: Exclude all <a href="#">exempt sponsors on FPPC approved list</a> and all non--profit, tax--exempt educational institutions. However, researchers must disclose for the prime sponsor if the educational institution received its funds from a non--governmental entity.</p>	<ul style="list-style-type: none"> <li>NSF/USDA/NASA research contract/grant</li> <li>Non-governmental entity which flows down NSF/USDA/NASA funds</li> <li>UC Discovery Grant</li> <li>California Institute for Regenerative Medicine (CIRM) Grant</li> <li>UC Special Research Programs (HIV/AIDS, breast cancer and tobacco related disease)</li> </ul> <p>Note: Exclude Phase 1 SBIR or STTR grants</p>	<ul style="list-style-type: none"> <li>PHS research contract/grant from <a href="#">PHS/DOE* agencies within the DHHS/DOE</a></li> <li>Non--governmental entity flows down from PHS/DOE funds</li> <li>Research Funding from organizations that follow PHS disclosure requirements. Complete list at FDP (Federal Demonstration Partnership) below.                             <ul style="list-style-type: none"> <li>- PHS policy excludes Phase 1 SBIR/STTR grants. List of PHS compliant institutions and entities is available at the FDP site: <a href="https://thefdp.org/default/fcoi-clearinghouse/fcoi-agencies/">https://thefdp.org/default/fcoi-clearinghouse/fcoi-agencies/</a></li> </ul> </li> </ul> <p>*DOE – Department of Energy</p>
WHO MUST DISCLOSE?		
CSU Principal Investigator	CSU Investigator(s) – Individuals responsible for the design, conduct, or reporting of the funded research project	CSU Investigator(s) – Individuals responsible for the design, conduct, or reporting of the funded research project
WHAT TO DISCLOSE-- FINANCIAL INTEREST		
<p>For non-governmental sponsors (direct sponsor or prime funding sources)</p> <p><b>REQUIRED FOR RESEARCH PROJECTS</b></p> <p>A financial interest in the non-governmental sponsor of the research including:</p> <ul style="list-style-type: none"> <li>Income ≥ \$500</li> <li>Investments ≥ \$2,000</li> <li>Director, Officer, Employee, Partner, Trustee, Consultant or Management position</li> <li>Loan Balances ≥\$500</li> <li>Personal Gifts Valued at ≥ \$50</li> <li>Travel Reimbursements</li> </ul>	<ul style="list-style-type: none"> <li>A significant financial interest related to the research project including Income &gt; \$10,000</li> <li>Equity (of any type) &gt; \$10,000 or 5%</li> <li>Director, Officer, Employee, Partner, Trustee, Consultant or Management position</li> <li>Intellectual Property</li> </ul>	<ul style="list-style-type: none"> <li>A significant financial interest related to the investigator's institutional responsibilities including:</li> <li>If publicly traded entity, total value of compensation and equity interest when aggregated &gt; \$5,000</li> <li>If non--publicly traded entity, total value of compensation &gt; \$5,000 or any equity interest</li> <li>Income received related to intellectual property &gt;\$5000Any reimbursed or sponsored travel (excluding (1) travel that is reimbursed or sponsored by a Federal, state, local government agency, an Institution of higher education as defined by 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute affiliated with an Institution of higher education; or (2) sponsored or reimbursed travel for the Investigator's spouse/registered domestic partner and/or dependent children.)</li> </ul>
<p>Note for all sources: Financial interests received within 12 months prior to submission must be reported for the disclosing individual and his/her spouse or registered domestic partner, and dependent children.</p>		
WHEN TO DISCLOSE		
<ul style="list-style-type: none"> <li>With the initial award</li> <li>With additional funding</li> <li>With renewals</li> <li>With any new reportable financial interest(s)</li> </ul> <p>Note: All positive disclosures must be reviewed and approved prior to acceptance of the award or additional funding.</p>	<ul style="list-style-type: none"> <li>With the initial proposal</li> <li>With non--competing continuations</li> <li>With renewals</li> <li>With supplemental funding</li> <li>When new personnel are added</li> <li>With any new reportable financial interest(s)</li> </ul> <p>New significant financial interests must be reported within 30 days of acquiring or discovering the new SFI for the disclosing individual and his/her spouse/registered domestic partner and dependent children.)</p> <p>Note: All positive disclosures must be reviewed prior to expenditure of funds.</p>	<ul style="list-style-type: none"> <li>With the initial proposal</li> <li>With non--competing continuations</li> <li>With renewals</li> <li>With supplemental funding</li> <li>When new personnel are added</li> <li>With any new reportable financial interest(s)</li> </ul> <p>New significant financial interests must be reported within 30 days of acquiring or discovering the new SFI for the disclosing individual and his/her spouse/registered domestic partner and dependent children.</p> <p>Note: All positive disclosures must be reviewed and approved prior to expenditure of funds.</p>
DISCLOSURE FORMS TO SUBMIT		
<ul style="list-style-type: none"> <li>State Disclosure (<a href="#">Form 700--U</a>)</li> <li>Campus addendum forms, if applicable</li> </ul>	<ul style="list-style-type: none"> <li>CSUSB Federal Disclosure Form</li> <li>Campus addendum forms, if applicable</li> </ul>	<ul style="list-style-type: none"> <li>CSUSB Federal Disclosure Form</li> <li>Campus addendum forms, if applicable</li> </ul>
TRAINING REQUIREMENTS		
<ul style="list-style-type: none"> <li>Ethics Training (CSU for University investigators; CITI or campus--based training for auxiliary investigators)</li> </ul>	<ul style="list-style-type: none"> <li>NA</li> </ul>	<ul style="list-style-type: none"> <li>PHS/DOE Training and/or campus-based training modules or programs (including CITI FCOI Training and campus in--person training/workshops)</li> </ul>