

CSUSB Disclosure of Financial Interests Certification (FCOI) Form

I. Project Information

Investigator's Name

Department/College:

Project Title

Sponsoring Agency

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NIH/PHS/DOE*

☐

Subaward under NIH/PHS/DOE*

☐

NSF/USDA

☐

Subaward under NSF/USDA

Other:

II. Type of Proposal Disclosure

☐

Renewal/Supplemental Proposal

☐

New Proposal

☐

New Award

☐

No Cost Time Extension

☐

Change in Financial Interest

☐

Annual Reporting

☐

New Investigator Added to Project

III. Principal Investigator Disclosure:

Note: For the purpose of this disclosure form, Institutional Responsibilities means a principal investigator's (PI) teaching/education, research, outreach and University public service on behalf of CSUSB that are in the course and scope of the PI's CSUSB appointment.

Have you, your spouse or registered domestic partner and/or dependent children received income or payment for services in the past 12 months or expect to receive income or payment in the next 12 months from an external entity or any other payments and consideration in value **related to your institutional responsibilities** exceeding \$10,000 if NSF/USDA or \$5,000 if PHS/NIH/DOE/non-PHS* when aggregated?

☐

Yes

☐

No

Have you, your spouse or registered domestic partner and/or dependent children received investment income or equity in the past 12 months or expect to receive investment income or equity dividends in the next 12 months from an external entity **related to your institutional responsibilities** in value exceeding \$10,000 if NSF/USDA or \$5,000 if PHS/DOE/non-PHS* when aggregated, or five percent (5%) for equity proceeds if NSF/USDA (any equity amount if PHS/DOE/non-PHS*)?

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Yes

☐

No

Have you, your spouse or registered domestic partner and/or dependent children received payments exceeding \$10,000 if NSF/USDA or \$5,000 if PHS/NIH/DOE for intellectual property rights and/or interests **related to your institutional responsibilities**?

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Yes

☐

No

Have you, your spouse or registered domestic partner and/or dependent children been a director, officer, partner, trustee or employee in the past 12 months or expect to become a director, officer, partner, trustee or employee in the next 12 months of an external entity related to your institutional responsibilities?

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Yes

☐

No

FOR PHS/NIH/DOE* projects only: Have you received **any** travel reimbursement or been sponsored for travel in the past 12 months by an external entity **related to your institutional responsibilities**?

☐

Yes

☐

No

If yes, please indicate the purpose of the trip, sponsor or organizer, destination and duration below.

Purpose

Sponsor/Organizer

Destination

Duration

I certify under penalty of perjury that this is a complete disclosure of all my significant financial interests related to my institutional responsibilities and I have used all reasonable diligence in preparing this financial interest disclosure and to the best of my knowledge it is true and complete. I also acknowledge that by signing my name below, it is my responsibility to disclose within 30 days any new significant financial interests obtained during the term of the above proposed project.

Signature

Date

*PHS Agencies and non-PHS agencies, including US Department of Energy (DOE), that follow the PHS FCOI Regulations (see list page 2 of this form).

GUIDANCE

How often does the CSUSB Disclosure of Financial Interests Certification form need to be submitted to the Office of Sponsored Programs Administration or Office of Research and Sponsored Programs?

PHS and Non-PHS Agencies using the PHS-FCOI Regulations (see list below) - Submission of the CSUSB Disclosure of Financial Interests Certification Form is required when grant is submitted, on an annual basis, when a new Investigator is added to the project, or when an Investigator's financial interests increase.

All Other Federal Agencies - Submission of the CSUSB Disclosure of Financial Interests Certification Form is required when grant is submitted, when a new Investigator is added to the project, or when an Investigator's financial interests increase.

PHS Agencies

1. Agency for Healthcare Research and Quality (AHRQ)
2. Agency for Toxic Substances and Disease Registry (ATSDR)
3. Centers for Disease Control and Prevention (CDC)
4. Food and Drug Administration (FDA)
5. Health Resources and Services Administration (HRSA)
6. Indian Health Service (IHS)
7. National Institutes of Health (NIH)
8. Office of the Assistant Secretary for Health (OASH)
9. Office of the Assistant Secretary for Planning and Evaluation
10. Office of the Assistant Secretary for Preparedness and Response (ASPR)
11. Substance Abuse and Mental Health Services Administration (SAMHSA)
12. Administration for Community Living (ACL)
13. Administration for Children & Families (ACF)
14. Office of National Coordinator for Health Information Technology (ONC)

Non-PHS Agencies Using the PHS FCOI Regulations

1. Alliance for Lupus Research (ALR)
2. Alpha-1 Foundation
3. American Asthma Foundation (AAF)
4. American Cancer Society (ACS)
5. American Heart Association (AHA)
6. American Lung Association (ALA)
7. Arthritis Foundation (AF)
8. California Institute of Regenerative Medicine (CIRM)
9. CurePSP
10. Juvenile Foundation of America (JDRF)
11. Lupus Foundation of America (LFA)
12. Patient-Centered Outcomes Research Institute (PCORI)
13. Susan G. Komen for the Cure
14. University of California, Office of the President (UCOP) Special Programs
 - a. University AIDS Program
 - b. California Breast Cancer Program
 - c. Tobacco-Related Disease Research Program
15. US Department of Energy (DOE)

Definition

Who Must Disclose? Any individual meeting the definition of “Investigator”, which means the project director or principal investigator and any other person, regardless of title or position, who is responsible for the design, conduct, or reporting of funded research or educational program (or proposed for research or educational program funding), which may include, for example, collaborators or consultants, and any other individuals (including personnel from other institutions) who are involved in accomplishing project objectives. “Investigator” may also include students, graduate and undergraduate, and other personnel who may be listed as authors on project results, even if they are not paid from the project.

The CSUSB COI Policy can be found at [CSUSB Conflict of Interest \(COI\) Policy for Sponsored Projects](#)

Procedure/Process

Conflict of Interest Disclosure

1. Prior to submitting a proposal to NIH/PHS, NSF or USDA, ORSP will collect the CSUSB Disclosure of Financial of Interest Form (“FCOI” form) from each investigator. Once awarded, during the period of an award, non-competing continuations, renewals, supplemental funding, or when new personnel are added SPA will collect the FCOI form from the Investigator, maintain and secure all FCOI forms, and will serve as the Office of Record.

A. Positive Disclosure

If an Investigator submits a positive disclosure, the form shall be submitted to the Associate Provost for Research and Dean of Graduate Studies who will coordinate with the University’s Conflict of Interest Committee (“COI Committee”) for review. The COI Committee is designated to review financial disclosures and may request an Investigator for additional information, including completion of a COI addendum. The COI Committee will determine whether a conflict of interest exists and will make the determination on the process to manage, reduce or eliminate such conflict of interest.

B. Enforcement

SPA shall report and refer instances of failure to disclose conflict(s) of interest and potential violation(s) of the resolution plan to CSUSB’s Human Resources Department. Disciplinary measures may be imposed following campus and system wide policies, procedures, and union contracts current at the time. Funding sources and other appropriate parties will be notified as required by state and federal laws and regulations and sponsored projects award documents. The CSUSB Human Resources Department is responsible for maintaining a complete listing of employees required to complete, notifying employees of training requirements, maintaining/monitoring training records, progress, completion, and issue/escalate reminders to ensure compliance.

Records: The information provided herein may be released or transmitted to the sponsor, including federal agency representatives, and according to the California Public Records Act, may also be released to the public, upon request. These records will be retained for 3 years after termination of the sponsored project or until resolution of any action by the sponsor, whichever is greater.