

CSUDH Disclosure of Financial Interests Certification Form

I. Project Information

Investigator's Name

Department/College:

Project Title

Sponsoring Agency

PHS

Subcontract of PHS funds

NSF

Other (Please specify below)

Other:

II. Type of Proposal Disclosure

New Proposal

Supplemental Funding

No Cost Time Extension

Renewal/Competing Continuation

Annual Reporting/Non-Competing Continuation

New Investigator Added to Project

Change in Financial Interest

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 CSUDH that are in the course and scope of the PI's CSUDH 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 (\$5,000 for PHS projects) 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 (\$5,000 for PHS projects) when aggregated or five percent (5%) for equity proceeds (any equity for PHS projects)?

Yes

No

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

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?

Yes

No

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** (for PHS projects only)?

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.

Investigator (signed upon proposal submission)

Date

Investigator (signed upon receipt of award)

Date

Investigator (PHS, annually)

Date

Investigator (financial interest changes)

Date

GUIDANCE

How often does the CSUDH Disclosure of Financial Interests Certification form need to be submitted to the Graduate Studies and Research Office?

PHS and Non-PHS Agencies Using the PHS-FCOI Regulations (see list below) - Submission of the CSUDH 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 CSUDH 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.

Please note the disclosure form replaces the need for the Sponsored Program Compliance Verification Form mentioned in PM 2015-02.

PHS Agencies

Agency for Healthcare Research and Quality (AHRQ)
Agency for Toxic Substances and Disease Registry (ATSDR)
Centers for Disease Control and Prevention (CDC)
Food and Drug Administration (FDA)
Health Resources and Services Administration (HRSA)
Indian Health Service (HIS)
National Institutes of Health (NIH)
Office of the Assistant Secretary for Health (OASH)
Office of the Assistant Secretary for Preparedness and Response (ASPR)
Office of Global Affairs (OG)
Substance Abuse and Mental Health Services Administration (SAMHSA)

Non-PHS Agencies Using the PHS FCOI Regulations

Alliance for Lupus Research (ALR)
Alpha- I Foundation
American Asthma Foundation
American Cancer Society (ACS)
American Heart Association (AHA)
American Lung Association (ALA)
Arthritis Foundation (AF)
Cure PSP
Juvenile Diabetes Research Foundation (JDRF)
Lupus Foundation of America (LFA)
Patient-Centered Outcomes Research Institute (PCORI)
Susan G. Kormen for the Cure

Definitions

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.

Review Process

The Office of Graduate Studies and Research Coordinator will review the disclosure information to ensure completeness and consistency with prior disclosures. Information provided in the Disclosures of those Investigators having a Related, Significant Financial Interest and additional appropriate documentation shall be forwarded to the Dean of Graduate Studies and Research. The Dean of Graduate Studies and Research reviews the conflict of interest and, in consultation with the chair of the Academic Senate makes a recommendation as to how a management plan should be developed to reduce or eliminate potential conflicts of interest or forfeit the award.

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.

Please call the Office of Graduate Studies and Research Coordinator for any questions. The number is (310) 243-2136.