CALIFORNIA STATE UNIVERSITY
LONG BEACH

OFFICE OF RESEARCH & ECONOMIC DEVELOPMENT

Cayuse Proposal No.:

FEDERAL Financial Conflict of Interest (FCOI)

Under the CSU Conflict of Interest Code and CSULB policy, the Principal Investigator(s), other CSULB Investigator(s) that are Key Personnel, and if applicable, other External Investigator(s) that are Key Personnel paid or not-paid from this project, but will *s*hare responsibility for the design conduct, or reporting of certain sponsored projects must report their personal financial interests in any organization(s) that to the best of the Investigator's knowledge, may have a significant impact on the conduct of this research or might benefit from the anticipated results of the proposed project.

1. **Sponsor:** (check one only)

☐ **Federal Agency:** if checked provide name of agency

☐ **Sub-Award with Federal Agency as Prime:** **CSULB's Direct Sponsor**:

Federal Agency:

☐ Other:

2. **Reason for Disclosure:** (check one only)

☐ New Project ☐ Renewal ☐ Additional Support

☐ Annual Reporting ☐ Change in Financial Interest ☐ Other

3. **Project Title:**

Disclosure and Certification

1. **Do you, your spouse or registered domestic partner, or dependent children have a Significant Financial Interest related to the work to be conducted under the proposed project?**
   ☐ **Yes** ☐ **No** If "**YES,**" complete Supplement form.
2. **Are there other "CSULB" Key Personnel who share responsibility for the design, conduct, or reporting of the research (Paid or Non-paid)?** ☐ **Yes** ☐ **No**

If "YES," list CSULB Key Personnel below and provide a **"Federal"** Financial Disclosure form (this form) from each individual listed to ORED before Internal Routing can commence.

Name: **Name:** **Name:**

Name: **Name:** **Name:**

☐ check here if additional CSULB Key Personnel are involved. If so, provide names and forms separately.

3. **Are there External Investigator(s) that are Key Personnel?**
   ☐ **Yes** ☐ **No** If "**YES**," check a **OR** b below.

a. ☐ External "Key Personnel" has a "Conflict of Interest" policy in place and has completed form through their institution.
b. ☐ External "Key Personnel" does not have a "Conflict of Interest" policy in place and has provide a **CSULB FCOI form.**

Signature below certifies that 1.) No Significant Financial Interest exists or that a complete listing of all financial interests either in the research sponsor or otherwise related to the project is provided on a Supplement form; 2.) ensures that individuals listed above have provided the applicable documentation; and 3.) further acknowledge their responsibility to disclose any new Significant Financial Interest obtained during the term of this award.

Print Name (First, Middle Name, & Last Name) ☐ check if "No" middle name **Signature & Date**

☐ **PI/PD** ☐ **Co-PI/PD** ☐ **External Key Personnel** (w/No "Conflict of Interest Policy" in place)

Federal Financial Conflict of Interest (FCOI)

Who completes a FCOI Form?
This form must be completed by all internal "Key Personnel" and all external Key Personnel if individuals' organization does not have a Financial Conflict of Interest policy and procedures in place in their home institution.

Reporting does not include actions from this grant/contract. Reporting is based on actions that are in addition to this grant/contract obligation(s) and request(s).

Significant Financial Interest(s) include but are not limited to:

- ***Income*** including salary or other payment for services including consulting fees, honoraria, reimbursement of expenses (including travel), royalty payments, dividends, loans from an entity, or any other payments or consideration with value, including payments made to a health sciences compensation plan, during the prior twelve months or anticipated in the next twelve months of $10,000 or more.
- ***Equity*** in the form of stock, stock options, warrants, real estate, loans to or from an entity, or any other investment or ownership interest exceeding either $10,000 (current market value if publicly traded; otherwise, amount of investment) or a 5% ownership interest, for any one enterprise.
- ***A management position***, whether paid or unpaid, such as board member, director, officer, partner, or trustee.
- ***Ownership or other interest*** in an entity that is proposed as a subcontractor, consortium member, and lessor or otherwise involved in the project.
- ***Venture or other capital financing***
- ***Intellectual property interest*** on a patent, patent application, or copyright assigned or licensed to a party other than CSULB.
- ***Travel*** sponsored or reimbursement from the entity.

Reporting is for key personnel on project, his/her spouse or registered domestic partner, and dependent children. Specifically excluded from the definition of Significant Financial Interests are intellectual property owned by CSU/CSULB and payments made by CSU/CSULB for remuneration from the University including salary, stipends, honoraria, reimbursement of expenses and royalty payments.

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

CSULB: https://www.csulb.edu/office-of-research-and-economic-development/financial-conflict-of-interest#:~:text=CSULB's%20policy%20on%20Financial%20Conflict,and%20processes%20that%20ensure%20compliance.
CSU Resource: https://www.csudh.edu/hr/compliance-and-policies/conflict-of-interest/
FPPC: https://www.fppc.ca.gov/about-fppc/about-the-political-reform-act.html
CFR: https://www.ecfr.gov/current/title-42/chapter-I/subchapter-D/part-50/subpart-F
Federal Register: https://www.govinfo.gov/content/pkg/FR-2011-08-25/pdf/2011-21633.pdf
NIH: https://grants.nih.gov/policy-and-compliance/policy-topics/fcoi
NIH-FAQ's: https://grants.nih.gov/faqs#/financial-conflict-of-interest.htm