

The information requested on this form meets the conflict of interest disclosure requirements under Public Health Service (PHS) regulations (42 CFR Part 50 and 45 CFR Part 94), NSF requirements (2 CFR Part 200 and PAPPG Chapter IX.A), the policies and requirements of other California state and federal agencies, and university policy.

## Definitions

*Investigator:* any person, regardless of title or position, who is responsible for the design, conduct, or reporting of federally funded research, including subgrantees, contractors, consortium participants, collaborators, or consultants.

*Institutional Responsibilities:* An investigator's professional responsibilities on behalf of the institution, including, but not limited to, activities such as research, research consultation, professional practice, institutional committee memberships, and service on panels, boards, or committees.

*Significant Financial Interest:* Any financial interest of the investigator (or their spouse/domestic partner or dependent children) that is **both** related to the investigator's institutional responsibilities and meets the threshold for disclosure by a specific federal agency. A Significant Financial Interest **does not include**:

- Salary, royalties, or other remuneration paid to the investigator by their institution;
- royalties or licensing income from their institution;
- income from investment vehicles such as mutual funds and retirement accounts as long as the investigator does not directly control the investment decisions made in these vehicles;
- income from seminars, lectures or teaching engagement sponsored by a federal, state, or local government agency or a U.S. institution of higher education as defined at 20 U.S.C. 100(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an U.S. institution of higher education.

*Potential Financial Conflict of Interest:* When an independent observer might reasonably determine that an investigator's Significant Financial Interest could directly and significantly affect the design, conduct, or reporting of the research, or that the outcome of the research could potentially impact the Significant Financial Interest.

## Frequently Asked Questions

**Q:** Who must complete this form?

**A:** All key personnel on grant application or award must complete this form on behalf of themselves and their spouse/domestic partner and/or dependent children.

**Q:** How do I know if I need to disclose my reimbursed or sponsored travel?

**A:** You will need to disclose your reimbursed or sponsored travel if it meets three criteria:

- The travel was related to your institutional responsibilities, that is, any related to **any** activity that you undertake in your professional capacity;
- The travel was sponsored or reimbursed by a single entity that was **not** a U.S. Federal state or local government agency, a U.S. institution of higher education, a U.S. academic teaching hospital, U.S. medical center, or a research institute that is affiliated with a U.S. institution of higher education;
- The cost of the travel, when aggregated over 12 months, exceeds \$5,000 (for example, a single trip per year costing \$2,000 would not require disclosure but three trips in the course of a year that cost \$2,000 each would need to be disclosed).

**Q:** What if my travel was paid on my behalf and I don't know the actual amount?

**A:** Please estimate the cost of the travel based on current market value.

**Q:** How do I know if my financial interest is a Significant Financial Interest?

**A:** If you have answered yes to any of the questions on this form, you may have a Significant Financial Interest in an entity. You will need to complete the addendum form and the university will review your disclosure to make this determination based on the thresholds for the specific federal agency sponsoring your research.

**Q:** What happens to information I disclose?

**A:** Your disclosure is reviewed by the Associate Vice President for Research (AVP) or their Designee. If the information you reported is determined to be a Significant Financial Interest (based on the sponsor's thresholds), the AVP will determine whether the potential for a Financial Conflict of Interest exists. The AVP will recommend a plan to manage this potential for conflict and ensure that the research can proceed. This plan will also be approved by your college chair and dean.

**Q:** Is this information kept confidential?

**A:** SJSU will keep all disclosures confidential to the extent possible. However, it is important to remember that FCOI disclosure documents may be considered a public record under California Code, Government Code Section 81008(a) and information from your disclosure may requested under the California Public Records Act or the Freedom of Information Act.

The university's Conflict of Interest Policy (S99-11) has been approved by the Academic Senate.  
For a complete copy, please contact your Research Foundation Proposal Development Specialist.

Investigator Name: \_\_\_\_\_  
 Investigator Title: \_\_\_\_\_  
 Department and College: \_\_\_\_\_  
 Project Title: \_\_\_\_\_  
 Proposed Sponsor: \_\_\_\_\_

Please disclose all financial interests related to your institutional responsibilities for the previous 12 months, as well as those of your spouse and dependent children. An SJSU Official will review this disclosure and identify whether any financial interest constitutes a Significant Financial Interest as defined by the state or federal agency sponsoring your research.

I have financial interest(s) in an entity that is related to my institutional responsibilities: Yes No

**If yes, please answer the questions below with regard to the entity. Attach additional sheets for each entity. If no, please skip to page 2.**

Name of Entity: \_\_\_\_\_  
 Address of Entity: \_\_\_\_\_  
 Principal Business of Entity: \_\_\_\_\_  
 Is this Entity publicly traded? Yes No

With regard to this entity, are/have you, your spouse or your dependent children:

- A director, officer, partner, trustee, board member, co-founder or employee? Yes No
- Received any remuneration in the previous 12 months that, when aggregated, exceeds \$5,000? Yes No
- *(If this entity is publicly traded)* Owned equity interest in the previous 12 months, including any stock, stock option or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value that exceeds \$5,000 or 5% of ownership interest, whichever is less? Yes No NA
- *(If this entity is not publically traded)* Owned any equity interest in the previous 12 months? Yes No NA
- Hold any intellectual property rights and interests with the entity, such as patents or copyrights? Yes No
- Received sponsored or reimbursed travel related to your institutional responsibilities in the previous 12 months that, when aggregated, exceeds \$5,000? Yes No

If you indicated **Yes** regarding sponsored or reimbursed travel, please provide the information below. Add additional pages as necessary.

Start Date:	End Date:	Destination:
Purpose of Trip:		
Start Date:	End Date:	Destination:
Purpose of Trip:		
Start Date:	End Date:	Destination:
Purpose of Trip:		
Start Date:	End Date:	Destination:
Purpose of Trip:		

If you indicated **Yes** to any of the questions above, please complete and attach the Addendum Form.

## Investigator Certification

- I certify that I have used all reasonable diligence in preparing this disclosure and any attachments (if required). I further certify that information disclosed is complete and accurate to the best of my knowledge.
- I agree to update this disclosure on an annual basis **and** within 30 days of obtaining or discovering a new financial interest related to my institutional responsibilities.
- Should SJSU determine that a financial interest is both a Significant Financial Interest and constitutes a Potential Financial Conflict of Interest, I agree to cooperate in the development of a management plan to mitigate any potential conflicts.
- I am aware that once I have agreed to abide by the terms of a management plan, any noncompliance on my part could result in the suspension of the project and the return of any remaining funds to the sponsor.
- I agree to comply with federal, state, and local regulations regarding financial conflicts of interest as well as applicable CSU, SJSU, and SJSU Research Foundation policies.

Investigator Signature:

Date:

### **SJSU Institutional Official Review:**

The investigator has reported no financial interests, or none of the financial interests reported on this disclosure constitute a Significant Financial Interest as defined by the state or federal agency sponsoring the research. I recommend that the proposal be submitted to the agency at this time.

A financial interest reported on this disclosure constitutes a Significant Financial Interest as defined by the state or federal agency sponsoring the research but the potential for Financial Conflict of Interest does not exist. I recommend that the proposal be submitted to the agency at this time.

A financial interest reported on this disclosure constitutes a Significant Financial Interest as defined by the state or federal agency sponsoring the research and the potential for a Financial Conflict of Interest exists. I recommend that the proposal be submitted to the agency at this time. A management plan that documents in writing all necessary actions to manage the potential for Financial Conflict of Interest must be in place prior to acceptance of an award or expenditure of funds.

AVP of Research or Designee Signature:

Date: