

Addendum to the Financial Conflict of Interest (FCOI) Disclosure Form

You have filed a financial interest disclosure statement (Federal or 700-U) in which you acknowledged having a financial interest in the research activity referenced. The Financial Conflict of Interest policy requires that the Associate Vice President for Research conduct a substantive review of the research project and evaluate the disclosure and information requested through this amendment to assess whether a conflict of interest exists. The AVP for Research is further required to determine which, if any, conditions or restrictions should be imposed on the investigator or research protocol in order to manage, reduce or eliminate such conflicts of interest or appearances of conflicts of interest. The information may, under the California Public Records Act, be released to sponsoring agency personnel or to members of the public.

Please read the questions carefully. To avoid any unnecessary delays be specific and provide full information. Please type or print legibly and return the completed form to the Office of Sponsored Programs.

Principal Investigator/Researcher Making Disclosure

First Name: _____ Last Name: _____ M.I. _____
Department: _____ Mail Code: _____ Phone #: _____

Principal Investigator (if different from researcher making disclosure):

First Name: _____ Last Name: _____ M.I. _____
Department: _____ Mail Code: _____ Phone #: _____

Provide the following information about the related entity in which you have a financial interest:

Name of Entity: _____ Type of Business: _____
Address: _____ City, State, and Zip: _____

I. Description of Financial Interest

A. Income

1. Excluding gifts, contracts or grants administered by the SJSURF, have you, your spouse/domestic partner, or dependent child(ren) received income from the entity in the past 12 months?

☐ No ☐ Yes If marked yes, select the amount:
☐ \$500 - \$9,999 ☐ \$10,000 - \$20,000 ☐ \$20,001 - \$50,000 ☐ Above \$50,000

If marked yes, what is the nature of the income?

☐ Consulting ☐ Per Diem ☐ Honoraria ☐ Salary ☐ Payment in kind ☐ Other: _____

2. Do you have a loan arrangement with the entity?

☐ No ☐ Yes If marked yes, please provide the amount of the loan and explain the arrangements in the space below:

B. Management

1. Do you, your spouse or dependent child(ren) hold a position of management or employment with this entity?

☐ No ☐ Yes If marked yes, please specify:

☐ Director ☐ Employee ☐ Member, Board of Directors ☐ Trustee ☐ Partner

☐ Member, Scientific Advisory Board ☐ Other: _____

2. Describe the responsibilities of your position(s) with the sponsor and how it relates to the project funded by the sponsor. Use a separate page if necessary.

C. Equity

1. Do you, your spouse, or dependent child(ren) hold an equity interest in this entity?

☐ No ☐ Yes **If marked yes, please answer questions 2, 3, and 4.**

2. Please indicate the percentage of equity: _____

3. What is the nature of this equity interest?

☐ Bonds ☐ Convertible Security ☐ Stocks - Stock Options ☐ Other: _____

4. What is the value of this equity interest?

☐ less than \$2,000 ☐ \$2,000 - \$9,999 ☐ \$10,000 - \$100,000 ☐ \$100,000 - \$1,000,000 ☐ Above \$1,000,000

Note: If the stock is not publicly traded, please provide an internal estimate of value: _____

D. Consulting

1. Are you a consultant with this entity?

☐ No ☐ Yes **If marked yes, please answer questions 2, 3, and 4.**

2. Do you have a written consultant agreement (non-university agreement)?

☐ No ☐ Yes If marked yes, please provide a copy, which will be returned to you.

3. Please describe **in detail** the frequency and nature of your consulting activities and how the consulting is separate from your research (please attach another sheet).

4. Will the terms of your consulting in any way restrict the release of information or other dissemination of research results by the faculty or researchers involved in the project?

☐ No ☐ Yes If marked yes, please explain in the space below:

II. Relationship with Entity

A. Direct and Significant Impact on Financial Interests

1. Is the entity a subcontractor, consortium member, supplier of goods, lessor or otherwise involved with the project?

☐ No ☐ Yes If marked yes, please explain involvement in the space below:

2. Does the entity manufacture or commercialize any device, vaccine, procedure, drug or any product associated with this research?

☐ No ☐ Yes If marked yes, please explain in the space below:

3. Will the project purchase or lease any device or material from the entity?

☐ No ☐ Yes If marked yes, please provide name and approximate cost: _____

4. Is it reasonable to anticipate that the entity will or could be directly and significantly affected by the design, conduct, or reporting of the research activity?

☐ No ☐ Yes If marked yes, please explain in the space below:

5. If the entity is a nonprofit foundation, please respond to the following:

a. If the sponsoring foundation is primarily a vehicle for one or two companies or a closely cooperating group of businesses, please identify these firms in the space below:

b. Do you have a financial interest in any company that is providing funds to this nonprofit foundation?

☐ No ☐ Yes If marked yes, please explain below the relationship with the company in regard to your research.

B. Separation of University and Outside Interests

1. How are you keeping your interests and obligations to the entity separate from your university activity?

Attach additional sheets as needed.

2. Were you part of a formal committee or body that made the decision which led to the award?

☐ No If marked no, and you were present when the decision made, please provide **either** a written statement **or** a copy of the meeting minutes.

☐ Yes If marked yes, please explain in the space below:

3. Please **attach** a brief description (statement of work or abstract) of the research. If the project involves testing of any drugs or devices or the development of a product, please describe in detail.

4. Is the entity providing any proprietary data, materials, or equipment?

☐ No ☐ Yes If marked yes, please explain what control on access to the research will be necessary below:

5. Does the entity participate in deciding the direction of the research?

☐ No ☐ Yes If marked yes, please explain what role the entity will play in the space below:

C. Openness of Teaching and Research Environment

1. Are any undergraduate, graduate, or postdoctoral students involved in the project?

☐ No ☐ Yes If marked yes, please list how many and in what capacity in the space below:

2. Are there any constraints or restrictions imposed on the reporting of student work or course for credit?

☐ No ☐ Yes If marked yes, please explain in the space below:

3. Are you the advisor to any of these students?

☐ No ☐ Yes If marked yes, please explain in the space below:

D. Use of University Resources and Facilities

1. **For Nongovernmental Sponsored Projects:** Is the entity supporting full direct and indirect costs of this project?
(If a gift, please mark "Not Applicable.")

☐ No ☐ Yes ☐ Not Applicable

2. Please list any other entity funding this research and the amount of support. Also, please identify any university funds that will be supplementing the project.

3. Will the research be conducted in the entity's facilities?

☐ No ☐ Yes If marked yes, please provide the number of hours per week that will be spent in the entity's facilities in the space below:

4. Will any of the entity's personnel work on the research?

☐ No ☐ Yes If marked yes, in what capacity?

E. Licensing

1. **For Nongovernmental Sponsored Projects:** Will the contract, grant, or gift that will fund this research require the granting of an exclusive license or option to the entity? Bayh-Dole Act or Patent and Trademark Law Amendments Act is applicable to federally funded sponsored projects.

☐ No ☐ Yes, and it is documented in a SJSU research agreement or clinical trial agreement.

If not documented, please explain in the space below.

2. Does the entity hold rights to a pending application or issued patent to an invention(s), license rights or software copyright for you, your spouse or dependent child(ren)?

☐ No ☐ Yes, but the license is assigned from the university.
☐ Yes, and the application, patent, license, or copyright is **not** assigned from the university.

F. Protection of Human and Animal Subjects

1. Does the project involve:

Human Subjects ☐ No ☐ Yes

Animal Subjects ☐ No ☐ Yes

If marked yes, please indicate the protocol number: _____

2. Are you involved in recruiting and/or obtaining consent of human subjects to participate in this study?

☐ No ☐ Yes

3. Will the entity provide a drug, device, vaccine or procedure for use in the protocol?

☐ No ☐ Yes

4. Are you the inventor of any drug, device, vaccine, or procedure associated with this protocol?

☐ No ☐ Yes If marked yes, please provide the name of the drug, device, vaccine, or procedure in the space below:

Verification

I certify under penalty of perjury that this is a complete disclosure of all financial interests related to the specified project. I have used all reasonable diligence in preparing this addendum to the financial interest disclosure statement (Federal or 700-U) and to the best of my knowledge it is true and complete.

Signature: _____

Date: _____

(Print form and sign or sign electronically.)

Non-affiliated Investigators: Will investigators be involved with the PI or Co-PI in the design, conduct or reporting of the activities associated with the project (e.g., subcontractors, consultants, others with significant responsibilities) who are **not** affiliated with SJSU?

☐ No ☐ Yes

If marked yes, provide an assurance from the non-affiliated investigator home institution verifying compliance with the funding agency's regulations. Such assurance should be provided along with the participant's letter of commitment to the project.

Note: The State of California Information Practices Act of 1977 requires the university to provide the following information to individuals who are asked to supply this information about themselves:

The principal purpose for requesting this information is to accomplish the independent and substantive review of positive financial disclosures as required by the federal and state requirements. Disclosures will be maintained by the Office of Sponsored Programs. Failure to submit this information could jeopardize the acceptance of your award from the proposed sponsor and result in state enforcement proceedings against you as well as university sanctions. The information is a public record under university policy and State law.

Instructions: Complete one form for each entity in which you have disclosed a financial interest and send the completed form via email to: foundation-osp@sjsu.edu

Office of Sponsored Programs
San José State University Research Foundation
210 N. 4th Street, Fourth Floor
San Jose, CA 95112

Disposition Schedule: Records will be disposed of in accordance with applicable regulations governing this activity.