

CALIFORNIA STATE UNIVERSITY, EAST BAY  
OFFICE OF RESEARCH AND SPONSORED PROGRAMS (ORSP)  
**PHS FINANCIAL DISCLOSURE FORM**

(Required for all proposals submitted to the National Institutes of Health and any other entities that have adopted their requirements)

THIS SUBMITTAL is for a  New Disclosure  Updated Disclosure

**Investigator's Name:** \_\_\_\_\_

**Academic Department:** \_\_\_\_\_

**Proposal/Project Title:** \_\_\_\_\_

**Award Number:** \_\_\_\_\_

**Proposal Type (please check one):**

- National Institutes of Health (NIH)/Public Health and Services (PHS)  
 Subaward from \_\_\_\_\_ under NIH/PHS Prime  
 Other: \_\_\_\_\_

In accordance with the CSUEB Policy on Disclosure of Financial Interests and Management of Conflicts of Interest Related to Public Health Services Sponsored Awards for Research (42 C.F. Part 50, Subpart F and 45 C.F.R., Part 94), the Principal Investigator and all other Co-Investigators must disclose their personal significant financial interests (and those of their spouse/registered domestic partner and/or dependent children) related to their institutional responsibilities. This includes the Principal Investigator, Co-Investigators, Senior and Key Personnel, and any other individual who is responsible for the design, conduct, or reporting of research funded by PHS or an agency or organization that follows PHS disclosure requirements (for example, American Heart Association, American Cancer Society, etc.).

NOTE: This disclosure is separate from any disclosure required under State of California Administrative Code, Title 2, Section 18705 (Form 700-U Statement of Economic Interests for Principal Investigators).

1. Any person who is responsible for the design, conduct, or reporting of the PHS-funded research project must submit the PHS Financial Disclosure Form at the time of proposal submission.
2. At the just-in-time stage of awarding process, Conflict of Interest (COI) staff will contact Investigators who have disclosed any significant financial interests (SFI) to request the submission of the PHS Financial Disclosure Form. The COI Designated Official will review Form to determine whether or not the disclosed SFI is related to the research project.
3. The COI Staff will contact the Investigators who have SFI related to the PHS-funded research project to request the submission of PHS Financial Disclosure Form for Conflict of Interest Committee review.
4. The Conflict of Interest Committee will consider whether the Investigator's SFI could directly and significantly affect the design, conduct, or reporting of the PHS-funded research project. Please allow sufficient time for Committee review.
5. Submission of PHS Financial Disclosure Form is required (i) on an annual basis for non-competing continuation awards, (ii) when a new Investigator is added to the project, or (iii) when an Investigator's financial interests increase, whichever comes first. It is also required when an Investigator transfers PHS-funded research to CSU East Bay.

**Who is considered an "Investigator," and therefore required to disclose?** "Investigator" 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 research funded by the PHS (e.g., NIH), or proposed for such funding.

**What is an entity?** *Entity* means any domestic or foreign, public or private, organization (excluding a Federal agency) from which an Investigator (and spouse and dependent children) receives remuneration or in which any person has an ownership or equity interest.

**What is a "Significant Financial Interest"?** A significant financial interest consisting of **one or more** of the following interests of the Investigator (and those of the Investigator's spouse and dependent children) that reasonably appears to be related to the Investigator's institutional responsibilities:

1. With regard to **any publicly traded entity**, any income received from entity in 12 months preceding disclosure and value of any equity interests in entity as of date of disclosure exceeding \$5,000 when aggregated for an Investigator, Investigator's spouse, and dependent children from a single Entity (Business, Public or Nonprofit) including salary, consultant payments, honoraria, royalty payments, dividend, loan, or any other payments or consideration with value during the prior twelve months. Equity interest includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value;

2. With regard to any **non-publicly traded entity**, any remuneration received from entity in 12 months preceding disclosure, when aggregated, exceeds \$5,000; or when Investigator holds any equity interest (e.g., stock, stock option, or other ownership interest). Exclude income from seminars, lectures, or teaching engagements sponsored by a U.S. Federal, state, or local government agency, an institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education;
3. Intellectual property interest held by the Investigator, or Investigator's spouse or dependent children on a patent, patent application, or a copyright of software assigned or to be assigned to a party other than the CSU upon receipt of income related to such rights and interests that exceed \$5,000 in 12 months preceding disclosure.
4. Any reimbursed or sponsored travel in excess of \$5,000 per entity in the 12 months prior to disclosure (i.e., that which is paid on behalf of Investigator and not reimbursed to Investigator so that the exact monetary value may not be readily available), related to institutional responsibilities. Excludes travel reimbursed or sponsored by a U.S. Federal, state, or local government agency, an institution of higher education as defined by 20 U.S.C. 1001(A), an academic teaching hospital, a medical center, or a research institute affiliated with Institution of higher education.

**What is not a "Significant Financial Interest"?** Significant financial interests do **not** include (1) payments (salary, royalties, honoraria, expense reimbursement or any other remuneration) or (2) income from seminars, lectures, or teaching engagements sponsored by a U.S. Federal, state, or local government agency, an institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education or (3) an investment by a mutual fund, pension fund or other investment fund over which the investigator or his/her immediate family member does not exercise management of fund investment.

**What are institutional responsibilities?**

"Institutional Responsibilities" is defined as teaching/education, research, outreach, clinical service, training and University and public service, on behalf of CSU East Bay and directly related to those credentials, expertise and achievements upon which the Investigator's CSUEB position is based.

**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 5 years after termination of sponsored project or until resolution of any action by the sponsor, whichever is greater. The Office of Record is the Research Administration and Compliance Office.

See <http://www20.csueastbay.edu/orsp/files/docs/policy-and-regulations/supplemental-phs-coi-2014.pdf> for the Policy on Disclosure of Financial Interests Related to Sponsored Programs and for other information.

**All Investigators must answer the following questions:**

For the purpose of this disclosure form, Institutional Responsibilities means an Investigator's teaching/education, research, outreach, clinical service, and University and public service on behalf of CSUEB which are in the course and scope of the Investigator's CSUEB appointment/employment.

**1. Publicly Traded Entity**

***Income and Equity Interests***

Have you, your spouse or registered domestic partner, and/or dependent children received income or payment for services in the past 12 months or own equity interest in any publicly traded entity related to your institutional responsibilities exceeding \$5,000 when aggregated? This does not include interests in mutual funds and retirement funds in which you do not directly control investment decisions.

NO       YES

**2. Non-Publicly Traded Entity**

***Income***

Have you, your spouse or registered domestic partner, and/or dependent children received income or other payment for services, in the past 12 months, exceeding \$5,000, when aggregated, from any non-publicly traded entity? This does not include payments from the CSU Chancellor's Office, or income from seminars, lectures, or teaching engagements sponsored by a U.S. federal, state, or local government agency, a U.S. institution of higher education or an affiliated research institute, an academic teaching hospital, or a medical center.

NO       YES

**Equity Interests**

Do you, your spouse or registered domestic partner, and/or dependent children currently own, or have acquired in the past 12 months, any equity interest in any non-publicly traded entity related to your institutional responsibilities? This can include any stock, stock option or other ownership interest.

NO       YES

**3. Intellectual Property Rights and Interests**

Have you, your spouse or registered domestic partner, and/or dependent children received any payments, in the past 12 months, for any intellectual property rights and interests (e.g. patents, copyrights, assigned or licensed to a party other than the CSU) exceeding \$5,000 related to your institutional responsibilities?

NO       YES

**4. Travel Reimbursement/Sponsorship**

Have you received travel reimbursement or been sponsored for travel (i.e. travel expenses paid on behalf of Investigator and not reimbursed to Investigator) in excess of \$5,000 per entity in the 12 months prior to disclosure, by any entity related to your institutional responsibilities? This does not include travel sponsored or reimbursed by a U.S. federal, state, or local government agency, a U.S. institution of higher education or an affiliated research institute, an academic teaching hospital, or a medical center.

NO       YES

**5. Acknowledgment and Certification**

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 that 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: \_\_\_\_\_

The information provided on this form may, under the California Public Records Act, be released to sponsoring agency personnel or members of the public. The purpose of collecting this information is to comply with federal regulations and the University Policy on Disclosure of Financial Interests related to Sponsored Programs. Complete one form for each Entity in which you have a financial interest. Retention: Five (5) years after termination of sponsored project or until resolution of any action by the sponsor, whichever is longer.