

California State University, Maritime Academy
Disclosure of Financial Interests Certification Form
ONLY FOR GOVERNMENTAL SPONSORED PROGRAMS

Completion of this form is mandatory for Investigators who submit proposals to the National Science Foundation (NSF), the Public Health Service (PHS), and any other sponsors that have adopted the federal requirements for financial disclosure. This information is required to comply with the California State University, Maritime Academy (Cal Maritime) Financial Conflict of Interest Policy and federal regulations regarding disclosure of any financial interests that would reasonably appear to be affected by the conduct of a sponsored project. The information contained in this form may be released or transmitted to the sponsor, including federal agency representatives, and according to the California Public Records Act, it may also be released to the public, upon request.

Principal Investigator Last Name _____ First Name _____ MI _____

Department _____ Project Beginning and End Date _____

Proposal/Project Title: _____

Amount of funding requested: _____

Sponsor: PHS (NIH) NSF Subcontract of PHS/NSF funds from _____ Other _____

This submission is for (check one): New Proposal Competing Continuation (Renewal) New Investigator Added to Project Change in Financial Interest Annual Reporting / Non-Competing Continuation

Disclosures and Certification

Each Investigator's signature acknowledges responsibility to provide a complete disclosure of all reportable financial interests prior to award receipt, as those interests change, or on an annual basis during the project award period as required by the funding agency. The Investigator agrees to cooperate in the development of a Resolution Plan to address any actual or potential conflict of interest identified via this disclosure. The Investigator agrees to comply with any conditions or restrictions imposed by Cal Maritime to manage, reduce, or eliminate actual or potential conflicts of interest or forfeit the award. The Investigator also acknowledges they have read, understand, and agree to abide by Cal Maritime's Financial Conflict of Interest policy.

A. Principal Investigator: certifies that this form provides (1) a complete disclosure of all individuals involved in the design, conduct, or reporting of activities associated with this project, and (2) a complete disclosure of the PI's significant financial interests related to this project.

Do you, your spouse or dependent children have any significant financial interests related to the work to be conducted as part of the above-referenced project? (Definitions are specified on page 3 of this form)
 No Yes, *Investigator's Disclosure of Economic Interests Addendum* is attached in a sealed envelope (Please type or print information)

Do you benefit from any reimbursed or sponsored travel (i.e., travel paid on your behalf that is not reimbursed, so that the exact monetary value may not be readily available), not related to your Institutional responsibilities? (Definitions are specified on page 3 of this form)
 No Yes, *Investigator's Disclosure of Economic Interests Addendum* is attached in a sealed envelope (Please type or print information)

Signature of Investigator Date

Name and Title of Principal Investigator (Please type or print information)

B. Co-Investigators: certifies that this form provides (1) a complete disclosure of all individuals involved in the design, conduct, or reporting of activities associated with this project, and (2) a complete disclosure of the Co-PI's significant financial interests related to this project.

Do you, your spouse or dependent children have any significant financial interests related to the work to be conducted as part of the above-referenced project? (Definitions are specified on page 3 of this form)
 No Yes, *Investigator's Disclosure of Economic Interests Addendum* is attached in a sealed envelope (Please type or print information)

Do you benefit from any reimbursed or sponsored travel (i.e., travel paid on your behalf that is not reimbursed, so that the exact monetary value may not be readily available), not related to your Institutional responsibilities? (Definitions are specified on page 3 of this form)
 No Yes, *Investigator's Disclosure of Economic Interests Addendum* is attached in a sealed envelope (Please type or print information)

Signature of Co-Investigator Date

Name and Title of Co-Investigator (Please type or print information)

(Attach additional sheets as required to identify and include financial disclosure information for all project Investigators.)

C. Non-CSU Investigators: Will Non-CSU 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)? NO YES
If Yes, Cal Maritime must be assured that the affiliated institution has policies that comply with the funding agency's regulations. **Such assurance should be provided along with the participant's letter of commitment to the project.**

Sponsored Programs Endorsement:

I have reviewed this financial interest disclosure and believe that no significant financial interest exists, or if one does exist that a Resolution Plan to manage, reduce, or eliminate any actual or potential conflict of financial interest has been implemented. Therefore, I recommend that funds be expended.

Signature of Sponsored Programs Date

California State University, Maritime Academy
Investigator's Disclosure of Economic Interests Addendum

I have reportable financial interests declared on the attached pages

Name of Interest:

Address of Interest:

Owner(s) of Interest:

Principal Type of Business:

Do you have an investment of \$10,000 or more in the entity? No Yes

For PHS-funded Investigators, do you have an investment of \$5,000 or more in the entity? No Yes

Do you hold an equity position of 5% or more in the entity? No Yes

Are you a director, officer, partner, trustee or employee? No Yes
If "yes," please specify below

Do you have intellectual property rights (patents, copyrights) being used by the entity or "interest"? No Yes
If "yes," please specify below

Is there an agreement between you and the entity or "interest" for deferred remuneration, compensation, or financial gain of any kind? *If "yes," please specify below* No Yes

For PHS-funded Investigators, do you receive reimbursed or sponsored travel related to your Institutional responsibilities? This does not include travel that is reimbursed or sponsored by a federal, state, or local government agency, an institution of higher education, academic teaching hospital, medical center, or research institute affiliated with an Institution of higher education. No Yes
If "yes," please indicate purpose of trip, sponsor/organizer, destination, and duration below

I declare under penalty of perjury under the laws of the State of California that I have used all reasonable diligence in preparing this Disclosure and that, to the best of my knowledge and belief, it is true and complete.

Investigator's Signature

Date

Investigator's printed name

Instructions

For PHS and NSF:

1. The Principal Investigator (PI) and each Investigator must sign the Disclosure as early as possible after the PI is informed that federal funding is likely.
2. Investigators having a significant related financial interest must also complete the **Investigator's Disclosure of Economic Interests Addendum**. Allow sufficient time for Sponsored Programs to complete a review, if necessary, and make a recommendation to the VP of Administration and Finance prior to award acceptance.
3. Submission of this form is also required on an annual basis for non-competing continuation awards, when a new Investigator is added to the project, or when an Investigator's financial interests increase, whichever comes first.

For PHS:

1. The de minimis disclosure threshold for a Significant Financial Interest on PHS funded projects is \$5,000, which generally applies to payments for services and equity interests. This includes any equity interest in non-publicly traded entities.
2. PIs are required to disclose the occurrence of any reimbursed travel or sponsored travel related to Institutional responsibilities (including purpose of trip, sponsor/organizer, destination, and duration). Disclosure of travel reimbursements and Sponsored Travel does not include travel that is reimbursed or sponsored by a 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.

For other Sponsors who have adopted the Federal disclosure requirements:

1. The Principal Investigator (PI) and each Investigator must sign the Disclosure and forward it to Sponsored Programs with the complete proposal package.
2. Investigators having a significant related financial interest must also complete the Investigator's Disclosure of Economic Interests Addendum. Allow sufficient time for Sponsored Programs to complete a review, if necessary, and make a recommendation to the VP of Administration and Finance prior to award acceptance.

Definitions

Who Must Disclose? An individual involved in the design, conduct, or reporting of the results of work performed or to be performed under the sponsored project. "Investigator" includes, but is not limited to the Principal Investigator, Co-Investigators, and any other individuals (including personnel from other institutions) who are involved in accomplishing project objectives. It may 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.

What is a "Significant Financial Interest"? Anything of monetary value, including, but not limited to:

1. Income exceeding \$10,000 (or \$5,000 for PHS projects) when aggregated for an Investigator and the 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. Income from a Public or Nonprofit Entity for seminars, lectures, teaching engagements, or service on advisory committees or review panels is exempt;
2. Equity in the form of stock, stock options, real estate, loan to, or any other investment or ownership interest exceeding \$10,000 (or \$5,000 for PHS projects), (current market value) or a 5% ownership interest, for any one enterprise when aggregated for an Investigator and the Investigator's spouse and dependent children;
3. A management position such as board member, director, officer, partner or trustee held by the Investigator, the Investigator's spouse and/or dependent children; or
4. 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 Trustees.

Financial Interest does **not** include (1) payments made by The Trustees (salary, royalties, honoraria, expense reimbursement or any other remuneration) or (2) 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 is a "Related Financial Interest"? The work to be performed under the sponsored project and results therefrom would reasonably appear to affect the financial interest of the Investigator or the financial interest of the Entity in which the Investigator has an interest. The following are financial interests "related" to a sponsored project:

1. The Investigator is conducting a project where the results could be relevant to the development, manufacturing, or improvement of the products or services of the entity in which the Investigator has a financial interest;
2. The Investigator has a financial interest in an entity which might manufacture or commercialize a drug, device, procedure or any other product used in the project or that will predictably result from the project;
3. The Investigator has consulting income in his/her professional field that exceeds \$10,000 from a single entity during the prior twelve months. The Conflict of Interest Oversight Committee will provide an assessment for the Dean of Sponsored Programs as to whether any of that entity's financial interests, or the Investigator's financial interests related to consulting for that entity, would reasonably appear to be affected by the federally-sponsored research;
4. The Investigator has a financial interest in an entity and the sponsored project proposes to subcontract a portion of the work, or lease property, or make referral of participants to, or make purchases from the entity; or
5. The Investigator has a financial interest in an entity that is part of a consortium or that will otherwise participate in the sponsored project.

Review Process

Staff in Sponsored Programs 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 Cal Maritime Conflict of Interest Oversight Committee. The COIOC will consider whether the financial interests of the Investigator or the Entity could be directly and significantly affected by the proposed sponsored project and whether the financial interest could affect the design, conduct, or reporting of the project. A direct impact occurs when the project results would be directly relevant to the development, manufacturing, or improvement of the products or services of the entity in which the employee has a financial interest, or when the entity is a proposed subcontractor or participant in the project. A significant impact on the financial interest is one that will materially affect the value of the organization, its earnings, or the sale of its products. The COIOC will review the information and make a recommendation to the VP of Administration and Finance and Dean of Sponsored Programs, who are the responsible institutional officials.

Retention of Information: Three (3) years after termination of sponsored project or until resolution of any action by the sponsor, whichever is greater. The Office of Record is the Cal Maritime Office of Human Resources.