Principal Investigator's Statement of Financial Interests/PHS

Under Cal State LA's Conflict of Interest policy, the Principal Investigator and all other investigators/personnel who have or share responsibility for the design, conduct, or reporting of PHS sponsored projects must report their personal financial interests in any organization(s) that, to the best of the Investigator's knowledge, may be related to their institutional responsibilities.

Sponsor: Please check one box below:

☐ Federal Agency (specify): _____

☐ Subaward with Federal Agency pass through (specify sponsor and pass through agency) _____

☐ Other _____

Reason for Disclosure: ☐ New Proposal ☐ Continuation/Additional Funding ☐ New/Change Investigator

☐ New Interest Obtained (Previous proposal/award # if applicable): _____

☐ New Sponsor on Existing Project (Previous sponsor name): _____

☐ Request from IRB ☐ No Cost Time Extension ☐ Other

Title of Proposal: _____

Budget Period From: _____ Through: _____ Project Period From: _____ Through: _____

Amount Requested (estimated) for Budget Period $: _____

IRB/IACUC/IBC No(s) if applicable: _____

Disclosure and Certification

The Principal Investigator's signature acknowledges having read Cal State LA's Investigator's Disclosure of Financial Interest for Projects Funded by the Public Health Service (PHS) and certifies that all individuals required to make disclosures of Significant Financial Interests have been listed on this form, or that no other individuals working on the research are required to make decisions.

Do you, your spouse or registered domestic partner, or dependent children have a Significant Financial Interest related to your institutional responsibilities? *(See next page for definitions of Significant Financial Interests)*

☐ No ☐ Yes Addendum attached

Are there other Investigators/key personnel who share responsibility for the design, conduct, or reporting of the research? ☐ No ☐ Yes

If YES, those Investigators/key personnel should be named below, and you should direct them to the Other Investigators/Key Personnel Statement of Financial Interests/PHS form to complete their disclosures.

Print or Type Name of Other Investigator(s)/key personnel (this would include co-PIs, consultants, sub-recipients, or any others who have, or share, responsibility for the design, conduct, or reporting of this PHS sponsored projects). IT IS THE RESPONSIBILITY OF THE PI TO PROVIDE THESE NAMES.

Signature **Principal Investigator**: _____ Date: _____

Print or Type Name of **Principal Investigator**: _____

☐ Administrative Review
Institutional Official: _____ Date: _____

Institutional Responsibilities:

Institutional responsibility refers *to an Investigator's professional responsibilities on behalf of the Institution, and as defined by the Institution in its policy on financial conflicts of interest, which may include for example: activities such as research, research consultation, teaching, professional practice, institutional committee memberships, and service on panels such as Institutional Review Boards or Data and Safety Monitoring Boards*.

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

1. *For a publicly traded entity: Income or other payment for services including salary, and any payment for services not otherwise identified as salary, including but not limited to, consulting payments, honoraria, paid authorship, or any other payments or consideration of value, including payments made to a health sciences compensation plan, received during the prior 12 months and the value of any equity interest (including stock, stock options or other ownership interests, as determined by public prices or other reasonable measure of fair market value) in the entity as of the date of disclosure, which when aggregated, exceeds $5,000.*

   [Investigators are not required to disclose SFI in mutual funds or other investment vehicles such as retirement funds as long as the Investigator does not directly control the investment decisions made for these investment vehicles]

2. *For a non-publicly traded entity: Income or other payment for services including salary, and any payment for services not otherwise identified as salary, including but not limited to, consulting payments, honoraria, paid authorship, any other payments or consideration of value, including payments made to a health sciences compensation plan, received during the prior 12 months that exceeds $5,000, or equity interest of any amount, including, but not limited to stock, stock options, or ownership interest in the entity.*

   [Investigators are not required to disclose (a) payments made by Cal State LA or UAS, including salary, stipends, royalty payments, honoraria, reimbursement of expenses, or any other remuneration from Cal State LA or UAS; or (b) income for seminars, lectures, teaching engagements, or service on advisory committees or review panels sponsored by federal, state or local governments, a US institution of higher education, or a research institute, academic medical center or hospital that is affiliated with an institution of higher education so long as they do not involve contractual obligations that would conflict with the researcher's obligations as a Cal State LA employee under the terms of the California State University's patent, copyright or other intellectual property policies.]

3. *Intellectual property rights and interests: Income received during the previous 12 months that exceeds $5,000 for such rights and interests.*

   [SFIs do not include royalties received from Cal State LA or UAS related to patents or copyrights]

4. *Travel: The occurrence of any sponsored or reimbursed travel (for the Investigator only) must be disclosed whether payment is made to the Investigator directly, or expenses are paid on behalf of the Investigator by a for-profit or non-profit organization:*

   a. *Either prospectively, by listing all travel that the Investigator anticipates will be sponsored or reimbursed during the next 12 months, or*

   b. *Within 30 days of the occurrence if the trip wasn't reported prospectively.*

   [Investigators are not required to disclose travel that is reimbursed or sponsored by federal, state or local governments, a US institution of higher education, or a research institute, academic medical center or hospital that is affiliated with an institution of higher education]

.

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