

510-002-A: Non-Governmental Conflict of Interest (Form 700-U)

This procedure implements [CSU Systemwide Policy](#), [Sponsored Programs Financial Conflict of Interest for Investigators](#) (ICSUAM Policy #11010.02), specifically the portion governed by Fair Political Practices Commission (FPPC).

Summary

The purpose for conflict of interest laws is to prohibit public employees from personally benefiting at the expense of the public interest. The Political Reform Act of 1974, administered by the Fair Political Practices Commission (FPPC), is often regarded as the principal conflict of interest law, and is the guiding regulation for the CSU Conflict of Interest Code (see CSU Conflict of Interest Handbook) and CSU Systemwide Sponsored Programs Financial Conflict of Interest (FCOI) for Investigators Policy (ICSUAM #11010.02). The SPFCOI Policy defines a Significant Financial Interest as “anything of monetary value, including but not limited to salary or other payments for service; equity interests; being an owner, partner, director or officer in a non-publicly held company or entity; and, intellectual property rights and royalties from such rights.”

This procedure applies to Principal Investigators (PI) with primary responsibility for a non-governmentally funded research project that requires the disclosure of any financial interests the investigator, or the investigator’s spouse/ domestic partner and dependent children, may have with a non-governmental funding entity.

Information requested on all FPPC forms is used by the FPPC to administer and enforce the Political Reform Act. Failure to provide all the information required by the Act is a violation subject to administrative, criminal or civil prosecution. All reports and statements provided are public records open for public inspection and reproduction.

Process

Exempt Private Agencies

Research funding by certain nonprofit entities will not trigger disclosure. Exempt sponsors are listed at this UC Office of the President site: <https://www.ucop.edu/research-policy-analysis-coordination/policies-guidance/conflict-of-interest/list-of-non-governmental-entities-exempt-from-disclosure-requirement.html> or in Title 2, Division 6, Section 18755 of the FPPC regulation.

Disclosure, Training, and Management

1. Filing a Disclosure

Definitions and reporting requirements are described within the Form 700-U, available here <http://www.fppc.ca.gov/content/fppc-v2/fppc-www/Form700.html> (Scroll down webpage to 700-U most recent form link)

Form 700-U, Statement of Economic Interests for Principal Investigators form is required by all persons employed by the CSU who have principal responsibility for a research project if the project is to be funded or supported, in whole or in part, by a contract or grant (or other funds earmarked by the donor for a specific research project or for a specific researcher) from a non-governmental agency.

Disclosure is required prior to final acceptance of a contract or grant, or within 30 days of a change to the previous disclosure or renewal of funding (see Renewal, below).

2. Training Requirements

In accordance with the Fair Political Practices Commission requirements and consistent with CSU Policy, Principal Investigators must complete the CSU Ethics and Conflict of Interest training within six (6) months of receiving the grant.

3. Management of FCOIs

Management of financial interests will be set by an ad hoc independent review committee. Some examples of

management are:

- a. Disclosure of the external commitment or financial interest to human participants, fellow researchers, students involved in the research activity, journal publishers, and/or others;
 - b. Abstention from certain project segments or decisions;
 - c. Modification of the external commitment or financial interest;
 - d. Modification of the research plan (including the assignment of responsibilities);
 - e. Divestiture or severance of an external commitment or financial interest.
4. Proposal Pre-Submission Procedures
- a. Private Grant Sources: University Development (UD) is responsible for ensuring that the initial 700-U form, with wet signature, is obtained from the PI/PD and included in the proposal routing process.
 - b. Private Contract Sources: The Sponsored Programs Office (SPO) is responsible for ensuring that the initial 700-U form is obtained from the PI/PD, with wet signature, and included in the proposal routing process.
 - c. After proposal routing is complete, the initial original 700-U form is forwarded to University Personnel (UP) with "Proposal" written on it for University Personnel to maintain.
5. Awarded Projects Procedures
- a. Conflicts of Interest requirements are included in the New Award Orientation document prepared by SPO. A review of the COI requirements and an "awarded" Form 700-U is completed and signed by the PI.
 - b. The awarded 700-U form, with original signature, is forwarded to University Personnel with "Award" written on it.
 - c. University Personnel (UP) is responsible for:
 - documenting the review and resolution of reported conflicts of interest
 - maintaining the original conflict of interest disclosure documents
 - providing the required training requirements and information to the PI
 - tracking PI training completion and compliance for the life of the award
 - d. Renewal: "Renewal" for the purposes of this procedure is defined as 1) an increase in funding or a new competitive segment; or 2) there is a change in the previously submitted Form 700-U. In either case, the PI is responsible for completing a new 700-U within 30 days. SPO and/or Development will collect the revised original 700-U, identify it as a "Renewal" and forward to UP.
6. Internal Tracking
- a. An internal google sheet will be utilized to track the 700-U forms between University Development, Sponsored Programs Office (SPO) and University Personnel.
 - b. Development and SPO will enter when the original 700-U form for a "Proposal" is sent to University Personnel.
 - The information will include the Name of PI, Funding Source, Amount and date sent to UP.
 - University Personnel will fill in the date the 700-U was received and reviewed.
 - c. SPO will update the google sheet by entering when the original 700-U form for an "Award" is sent to University Personnel and will include the award dates and UCorp project number.
 - d. University Personnel will enter the PI date of training notification and completion.
 - e. University Personnel will run periodic reports from the CSU Learning Management software system to monitor training completion and renewals.

Roles & Responsibilities

PI: During the life of a research project funded by a nongovernmental organization, the PI is responsible for the following:

1. Complete the initial Form 700-U during the pre-award/proposal process and/or prior to acceptance of any awards;
2. Update the Form 700-U within 30 days in the event any of the conditions covered by the 700-U change during the life of the award or funding is renewed;
3. Complete the CSU Ethics Training within 6 months of receipt of the award;
4. Complete the CSU Ethics Training every 2 years throughout the life of an active award.

Dean (or other administrator): Responsible for reviewing the 700-U information during the proposal routing process and participating in the review and resolution of reported conflicts of interest.

University Personnel (UP): University Personnel is responsible for:

1. documenting the review and resolution of reported conflicts of interest;
2. maintaining the original conflict of interest disclosure documents;
3. providing the required training requirements and information to the PI;
4. tracking PI training completion and compliance for the life of the award;
5. entering the dates of notification and completion into the internal tracking google sheet.

University Development (UD): University Development is responsible for:

1. ensuring that the initial 700-U form, with wet signature, is obtained from the PI/PD for proposals from private grant sources and included in the proposal routing process;
2. forwarding the initial original 700-U form for private grant sources to UP with “Proposal” written on it for UP to maintain;
3. entering the initial 700-U information into the internal tracking google sheet.

Corporation, Post-Award Admin: Corporation, Post-Award Admin collaborates with SPO on compliance with the FCOI procedure, when necessary.

Sponsored Programs Office (SPO): Responsible for ensuring that the initial 700-U form is obtained from the PI/PD, with wet signature, for proposals from private contract sources and included in the proposal routing process. SPO will:

1. forward the initial original 700-U for private contract sources to UP with “Proposal” written on it for UP to maintain;
2. include conflict of interest information in the New Award Orientation document, review the requirements during the orientation and have the PI complete and sign an awarded 700-U form;
3. forward the awarded 700-U form, with original signature, to UP with “Award” written on it;
4. enter the original 700-U from private contract sources and all awarded 700-U into the internal tracking google sheet.

References

For Sponsored Programs Policy Definitions, refer to CSU [Sponsored Programs Policy Definitions](#) (ICSUAM #11001.01).

1. The FPPC regulation pertaining to PIs can be found in Title 2, Division 6, Section 18755:
<http://www.fppc.ca.gov/content/dam/fppc/NS-Documents/LegalDiv/Regulations/Index/Chapter7/Article3/18755.pdf>
2. CSU Conflict of Interest Handbook (COI code): <https://www2.calstate.edu/csu-system/administration/general-counsel/Documents/ConflictofInterestHandbook.pdf>; and CSU Policy HR2015-05 Conflict of Interest for PIs:
<http://www.calstate.edu/HRAdm/pdf2015/HR2015-05.pdf>
3. CSU Sponsored Programs FCOI for Principal Investigators Policy:
<https://calstate.policystat.com/policy/6594777/latest/>

Guidelines

Summary of Disclosure Requirements: Refer to the CSU FCOI Disclosure Chart for summary of requirements by funding source. [CSU FCOI Disclosure Requirements by Funding Source Chart](#)