



## WORK FOR OTHERS INVESTIGATOR STATEMENT OF SIGNIFICANT FINANCIAL INTERESTS

### Instructions

#### **Who must file a disclosure and take FCOI training?**

All personnel who are named on the budget of a PHS proposal submission must submit a “Statement of Financial Interests” disclosure form and provide a copy of the training certificate available at the end of the FCOI tutorial.

#### **Training**

LANS personnel on the list are required to take the LANL FCOI Training (which includes the NIH 2011 FCOI Tutorial) that can be found on the [LANL FCOI Website](#), and retain a copy of the certificate available at the end of the training. Non-LANL investigators need to take the NIH [2011 FCOI Tutorial](#) or their institute’s FCOI training course and provide a copy of their completion certificate. Re-certification is required every four years.

#### **Forms**

The cover sheet, identifying all LANL personnel and all sub institutions named on the proposal/project, must be submitted with the PI’s disclosure form for all proposal submissions and with new disclosure forms submitted for amendment and continuation proposals/reports and/or when adding new investigators. If you have additional personnel/investigator names than the cover sheet allows, use the “Additional Personnel/ Investigators List” form.

Each LANL person named on the proposal/project must submit a completed signed disclosure form and training certificate to [FCOI@lanl.gov](mailto:FCOI@lanl.gov).

Handwritten signatures are required (scanned or emailed PDFs are sufficient). Digital signatures (i.e. typed “signed by <name typed>” are not accepted.

Sub institutions will be contacted regarding the status of their policy and training for affected staff.

#### **Definitions**

**Financial Conflict of interest** is a Significant Financial Interest (SFI) that could directly and significantly affect the design, conduct, or reporting of funded research.

**Company** refers to the non-LANS investigator’s affiliation such as a university, private or public business entity.

A **publicly traded entity** refers to any domestic or foreign, public organization (excluding a Federal agency) that offers its securities (stocks/shares, bonds/loans, etc) for sale to the general public, typically through a stock exchange or through market makers operating in over-the-counter markets.

A **non-publicly traded entity** refers to any domestic or foreign organization owned by non-governmental organizations or by a relatively small number of shareholders or company members which does not offer or trade its company stock (shares) to the general public on the stock market exchanges, but rather the company’s stock is offered, owned and traded or exchanged privately.

**Institutional Responsibilities** an Investigator’s professional responsibilities on behalf of LANS, and as defined by LANS, include, but are not limited to, activities such as research, research consultation, outreach, teaching, professional practice, institutional committee memberships, and service on panels such as Institutional Review Boards or Data and Safety Monitoring Boards.

*If any questions remain on how to complete the disclosure form, send an email to [FCOI@lanl.gov](mailto:FCOI@lanl.gov). For more information on the financial conflict of interest disclosure policy, refer to LANL’s FCOI website: <http://www.lanl.gov/orgs/tt/fcoi>*