IDENTIFYING INVESTIGATORS (FOR FINANCIAL DISCLOSURES)

Public Health Service/National Institutes of Health vs. National Science Foundation

Nadia Wong, COI Administrator
March 18, 2015
- **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, or proposed for such funding, which may include, for example, collaborators or consultants.

- **Senior/Key Personnel**: includes the PD/PI and other individuals who contribute to the scientific development or execution of a project in a substantive, measurable way, whether or not they receive salaries or compensation under the grant.
  - "Zero percent" effort or "as needed" is not an acceptable level of involvement for senior/key personnel.
All individuals involved in funded research

Investigators (must submit Form 800 & complete COI training)

Senior/key personnel

PHS/NIH
Investigator: means the principal investigator, co-principal investigators/co-project directors, and any other person at the organization who is responsible for the design, conduct, or reporting of research or educational activities funded or proposed for funding by NSF.

Senior Personnel
- (co) Principal Investigator/Project Director (PI/PD)- Form 900 always required
- Faculty Associate (faculty member)

Other Personnel
- Postdoctoral (Scholar, Fellow or Other Postdoctoral Position)
- Other Professional
- Graduate Student (research assistant)
- Undergraduate Student
- Persons working on project in a non-research capacity

NSF DEFINITIONS
Does the individual meet the NSF definition of "Investigator" and require financial disclosure?

NSF Categories of Personnel

Senior Personnel
- PI/PD/Co-PI
- Faculty Associates

Other Personnel
- Maybe, PI determines

Form 900 Required?
- Yes
- Maybe, PI determines
- Maybe, PI determines
THANK YOU! QUESTIONS?

- COI Staff:
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  - Grace Park, Principal Subcontract & Research Compliance Officer (parkgj@uci.edu)