

## UC Irvine Conflict of Interest Disclosure Chart

- Disclosing individuals must disclose their financial interests received within the 12 months prior to disclosure submission including the financial interests of his/her spouse/registered domestic partner, and/or dependent child(ren). All positive disclosures must be approved prior to acceptance of the award or additional funding, to expenditure of funds, and/or to IRB review and approval of the protocol.
- Non-UCI Researchers have different COI forms. Refer to <https://research.uci.edu/ref/conflict-of-interest/forms-references/index.html>.

	STATE LAW	NATIONAL SCIENCE FOUNDATION	PUBLIC HEALTH SERVICE	HUMAN SUBJECTS
Reporting Triggers	<ul style="list-style-type: none"> <li>• Research contract/grant from a non-governmental entity</li> <li>• Research Gifts earmarked for a specific individual or a specific research project</li> <li>• Material Transfer Agreement</li> </ul> <p><i>Note: Exclude all exempt sponsors on <a href="#">FPFC approved list</a> and all non-profit, tax-exempt educational institutions. However, researchers must disclose for the prime sponsor if the educational institution received its funds from a non-governmental entity.</i></p>	<ul style="list-style-type: none"> <li>• NSF research contract/grant</li> <li>• Non-governmental entity <b>which flows down</b> NSF funds</li> <li>• UC Discovery Grant</li> <li>• California Institute for Regenerative Medicine (CIRM) Grant</li> <li>• UC Special Research Programs (HIV/AIDS, breast cancer and tobacco related disease)</li> </ul> <p><i>Note: Exclude Phase 1 SBIR or STTR grants</i></p>	<ul style="list-style-type: none"> <li>• PHS research contract/grant</li> <li>• Non-governmental entity <b>which flows down</b> PHS funds</li> <li>• Research Funding from organizations that follow PHS disclosure requirements (i.e., American Cancer Society, American Heart Association). Complete list at: <a href="https://research.uci.edu/ref/conflict-of-interest/research-disclosures/agencies-orgs-phs.html">https://research.uci.edu/ref/conflict-of-interest/research-disclosures/agencies-orgs-phs.html</a></li> </ul> <p><i>Note: Exclude Phase 1 SBIR or STTR grants</i></p>	Any study involving human subjects
Who	UCI Principal Investigator and co-Principal Investigator, if applicable	UCI Investigator(s) (individuals responsible for the design, conduct, or reporting of the funded research project)	UCI Investigator(s) (individuals responsible for the design, conduct, or reporting of the funded research project)	All individuals listed in the protocol application as research personnel
What to Disclose	<p>A financial interest in the non-governmental sponsor of the research including:</p> <ul style="list-style-type: none"> <li>• Income ≥ \$500</li> <li>• Investments ≥ \$2,000</li> <li>• Director, Officer, Employee, Partner, Trustee, Consultant or Management position</li> <li>• Loan Balances ≥ \$500</li> <li>• Personal Gifts Valued at ≥ \$50</li> <li>• Travel Reimbursements</li> </ul>	<p>A significant financial interest related to the research project including:</p> <ul style="list-style-type: none"> <li>• Income &gt; \$10,000 (excluding income from seminars, lectures, teaching engagements, or service on advisory committees or review panels for public or nonprofit entities)</li> <li>• Equity interest<sup>1</sup> &gt; \$10,000 or 5%</li> <li>• Intellectual Property interest in a patent, patent application, or copyright of a software (excluding intellectual property owned by the UC.)</li> </ul>	<p>A significant financial interest related to the investigator's <b>institutional responsibilities</b> including:</p> <ul style="list-style-type: none"> <li>• If publicly traded entity, total value of compensation <b>and</b> equity interest<sup>1</sup> &gt; \$5,000</li> <li>• If non-publicly traded entity, total value of compensation &gt; \$5,000 <b>or</b> any equity interest<sup>1</sup></li> <li>• Income received related to intellectual property &gt; \$5,000 (excluding intellectual property owned by the UC.)</li> <li>• Any reimbursed or sponsored travel (excluding (1) travel that is reimbursed or sponsored by a US Federal, state, local government agency, an Institution of higher education as defined by 20 U.S.C. 1001(a) within US, an academic teaching hospital, a medical center, or a research institute affiliated with an Institution of higher education within US; and (2) sponsored or reimbursed travel for the Investigator's spouse/registered domestic partner and/or dependent children.)</li> </ul>	<p>A disclosable financial interest related to the research including:</p> <ul style="list-style-type: none"> <li>• Income ≥ \$10,000</li> <li>• Equity interest<sup>1</sup> ≥ \$10,000 or 5% in a publicly traded company</li> <li>• Equity interest<sup>1</sup> in a privately held company, regardless of the value</li> <li>• Board of Directors, director, officer, partner, trustee or management position</li> <li>• Intellectual Property interest in a patent, patent application, or copyright of a software (excluding intellectual property owned by the UC.)</li> </ul>
When to Disclose	<ul style="list-style-type: none"> <li>• With the initial award</li> <li>• With renewal award (additional funding intended to extend or results in the extension of a project beyond the originally approved project period)</li> </ul>	<ul style="list-style-type: none"> <li>• With the initial proposal</li> <li>• When a new Investigator(s) is added</li> <li>• With any change in an investigator's financial interest</li> </ul>	<ul style="list-style-type: none"> <li>• With the initial and renewal proposals</li> <li>• With supplemental funding proposal</li> <li>• With non-competing continuation</li> <li>• With no cost time extension</li> <li>• When a new Investigator(s) is added</li> <li>• At least annually for duration of project</li> <li>• With any new significant financial interest (New significant financial interests must be reported within 30 days of acquiring or discovering the new SFI.)</li> </ul>	<ul style="list-style-type: none"> <li>• With the initial protocol</li> <li>• With any continuing IRB application</li> <li>• With any modification request that changes the Lead Researcher or adds Co-Researchers or other research personnel</li> </ul>
Forms	<ul style="list-style-type: none"> <li>• State Disclosure (<a href="#">Form 700U</a>)</li> <li>• Addendum (<a href="#">Form COI-1</a>) or Gift Addendum (<a href="#">Form COI-2</a>), if necessary</li> </ul>	<ul style="list-style-type: none"> <li>• Annual Disclosure (<a href="#">KR COI</a>)</li> <li>• NSF Disclosure (email), if necessary</li> <li>• Addendum (<a href="#">Form COI-1</a>), if necessary</li> </ul>	<ul style="list-style-type: none"> <li>• Annual Disclosure (<a href="#">KR COI</a>)</li> <li>• <a href="#">Annual Form 810</a>, if necessary</li> <li>• PHS Addendum (<a href="#">Form 820</a>), if necessary</li> </ul>	<ul style="list-style-type: none"> <li>• Application for IRB Review (online)</li> <li>• Addendum (<a href="#">Form COI-1</a>), if necessary</li> </ul>

<sup>1</sup> "Equity interest" includes stock, stock options, and other ownership interests.