

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 our site [here](#).

	STATE LAW	NATIONAL SCIENCE FOUNDATION	PUBLIC HEALTH SERVICE	HUMAN SUBJECTS
Reporting Triggers	<ul style="list-style-type: none"> Research contract/grant from a non-governmental entity Research Gifts earmarked for a specific individual or a specific research project Material Transfer Agreement <p><i>Note: Exclude all exempt sponsors on FPPC approved list 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"> NSF research contract/grant Non-governmental entity <u>which flows down</u> NSF funds California Institute for Regenerative Medicine (CIRM) Grant, Juvenile Diabetes Research Foundation (JDRF) Grant UC Special Research Programs (HIV/AIDS, breast cancer and tobacco related disease) <p><i>Note: Exclude Phase 1 SBIR or STTR grants</i></p>	<ul style="list-style-type: none"> PHS research contract/grant Non-governmental entity <u>which flows down</u> PHS funds Research Funding from organizations that follow PHS disclosure requirements (i.e., American Cancer Society, American Heart Association). Complete list here. <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"> Income ≥ \$500 Investments ≥ \$2,000 Director, Officer, Employee, Partner, Trustee, Consultant or Management position Loan Balances ≥ \$500 Personal Gifts Valued at ≥ \$50 Travel Reimbursements 	<p>A significant financial interest related to the research project including:</p> <ul style="list-style-type: none"> Income > \$10,000 (excluding income from seminars, lectures, teaching engagements, or service on advisory committees or review panels for public or nonprofit entities) Equity interest¹ > \$10,000 or 5% Intellectual Property interest in a patent, patent application, or copyright of a software (excluding intellectual property owned by the UC.) 	<p>A significant financial interest related to the investigator's institutional responsibilities including:</p> <ul style="list-style-type: none"> If publicly traded entity, total value of compensation <u>and</u> equity interest¹ > \$5,000 If non-publicly traded entity, total value of compensation > \$5,000 <u>or</u> any equity interest¹ Income received related to intellectual property > \$5,000 (excluding intellectual property owned by the UC.) 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.) 	<p>A disclosable financial interest related to the research including:</p> <ul style="list-style-type: none"> Income ≥ \$10,000 Equity interest¹ ≥ \$10,000 or 5% in a publicly traded company Equity interest¹ in a privately held company, regardless of the value Board of Directors, director, officer, partner, trustee or management position Intellectual Property interest in a patent, patent application, or copyright of a software (excluding intellectual property owned by the UC.)
When to Disclose	<ul style="list-style-type: none"> With the initial award With renewal award (additional funding intended to extend or results in the extension of a project beyond the originally approved project period) 	<ul style="list-style-type: none"> With the initial proposal When a new Investigator(s) is added With any change in an investigator's financial interest 	<ul style="list-style-type: none"> With the initial and renewal proposals With supplemental funding proposal With non-competing continuation With no cost time extension When a new Investigator(s) is added At least annually for duration of project With any new significant financial interest (New significant financial interests must be reported within 30 days of acquiring or discovering the new SFI.) 	<ul style="list-style-type: none"> With the KR Protocol application With the Renewal With any amendment that changes the Lead Researcher or adds Co-Researchers or other research personnel With any new related financial interest
Forms	<ul style="list-style-type: none"> State Disclosure (Form 700U) Addendum (Form COI-1CA) or Gift Addendum (Form COI-2), if necessary 	<ul style="list-style-type: none"> Annual Disclosure (KR COI) NSF Disclosure (email), if necessary Addendum (Form COI-1), if necessary 	<ul style="list-style-type: none"> Annual Disclosure (KR COI) Annual Form 810, if necessary PHS Addendum (Form 820), if necessary 	<ul style="list-style-type: none"> KR Protocols application (online) Addendum (Form COI-1), if necessary

¹ "Equity interest" includes stock, stock options, and other ownership interests.