

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 and NATIONAL AERONAUTICS & SPACE ADMINISTRATION	PUBLIC HEALTH SERVICE and DEPARTMENT OF ENERGY	HUMAN SUBJECTS
Reporting Triggers	<ul style="list-style-type: none"><li>Research contract/grant from a non-governmental entity as the prime and/or direct sponsor</li><li>Research Gifts earmarked for a specific individual or a specific research project</li><li>Material Transfer Agreement</li></ul>	<ul style="list-style-type: none"><li>NSF research contracts and grants</li><li>NASA research contract and cooperative agreements</li><li>Non-governmental entity <u>which flows down</u> NSF/NASA funds (including SBIR/STTR subawards)</li><li>California Institute for Regenerative Medicine (CIRM) Grant, Juvenile Diabetes Research Foundation (JDRF) Grant</li><li>UC Special Research Programs (HIV/AIDS, breast cancer and tobacco related disease)</li></ul>	<ul style="list-style-type: none"><li>PHS grant, cooperative agreement, contract or DOE financial assistance award (e.g., grant, cooperative agreement or technology investment agreement)</li><li>Non-governmental entity <u>which flows down</u> PHS/DOE funds</li><li>Research Funding from organizations that follow PHS/DOE disclosure requirements (i.e., American Cancer Society, American Heart Association). Complete list <a href="#">here</a>.</li></ul>	Any study involving human subjects
Exclusions	<ul style="list-style-type: none"><li>All exempt sponsors: <a href="#">FPPC exempt list</a></li><li>All non-profit, tax-exempt educational institutions</li></ul>	N/A	<ul style="list-style-type: none"><li>Phase 1 SBIR or STTR</li><li>Office of Indian Energy</li></ul>	N/A
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 purpose (DOE only), design, conduct, or reporting of the funded research project) Note: DOE has discretion to expand this definition	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>Salary, honoraria, royalties, venture or other capital financing, or other payments &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% ownership interest</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 <u>institutional responsibilities</u> including:</p> <ul style="list-style-type: none"><li>If publicly traded entity, total value of compensation <u>and</u> equity interest<sup>1</sup> &gt; \$5,000</li><li>If non-publicly traded entity, total value of compensation &gt; \$5,000 <u>or</u> 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, a domestic Institution of higher education, or a research institute affiliated with an Institution of higher education within US (for PHS only- also exclude an academic teaching hospital, a medical center); 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 KR Protocol application</li><li>With the Renewal</li><li>With any amendment that changes the Lead Researcher or adds Co-Researchers or other research personnel</li><li>With any new related financial interest</li></ul>
Forms	<ul style="list-style-type: none"><li>State Disclosure (<a href="#">Form 700U</a> – 3 versions in “Forms” section)</li><li>Addendum (<a href="#">Form COI-1CA</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>Threshold Question (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>Addendum (<a href="#">Form 820</a>), if necessary</li></ul>	<ul style="list-style-type: none"><li>KR Protocols application (online)</li><li>Addendum (<a href="#">Form COI-1</a>), if necessary</li></ul>

<sup>1</sup> “Equity interest” includes stock, stock options, private equity and other ownership interests.