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.

<table>
<thead>
<tr>
<th>STATE LAW</th>
<th>NATIONAL SCIENCE FOUNDATION and NATIONAL AERONAUTICS &amp; SPACE ADMINISTRATION</th>
<th>PUBLIC HEALTH SERVICE and DEPARTMENT OF ENERGY</th>
<th>HUMAN SUBJECTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Research contract/grant from a non-governmental entity</td>
<td>• NSF/NASA research contract/grant</td>
<td>• PHS grant, cooperative agreement, contract or DOE financial assistance award (e.g., grant, cooperative agreement or technology investment agreement)</td>
<td>Any study involving human subjects</td>
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<td>• Research Gifts earmarked for a specific individual or a specific research project</td>
<td>• Non-governmental entity which flows down NSF/NASA funds</td>
<td>• Non-governmental entity which flows down PHS/DOE funds</td>
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<td>• Material Transfer Agreement</td>
<td>• California Institute for Regenerative Medicine (CIRM) Grant, Juvenile Diabetes Research Foundation (JDRF) Grant</td>
<td>• Research Funding from organizations that follow PHS/DOE disclosure requirements (i.e., American Cancer Society, American Heart Association). Complete list here. Note: Exclude Phase 1 SBIR or STTR and Office of Indian Energy</td>
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<td>• UC Special Research Programs (HIV/AIDS, breast cancer and tobacco related disease)</td>
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<td>Note: Exclude Phase 1 SBIR or STTR</td>
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</tbody>
</table>

What to Disclose

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

A financial interest in the non-governmental sponsor of the research including:

- Income ≥ $500
- Investments ≥ $2,000
- Director, Officer, Employee, Partner, Trustee, Consultant or Management position
- Loan Balances ≥ $500
- Personal Gifts Valued at ≥ $50
- Travel Reimbursements

A significant financial interest related to the research project including:

- Salary, honoraria, royalties, venture or other capital financing, or other payments > $10,000 (excluding income from seminars, lectures, teaching engagements, or service on advisory committees or review panels for public or nonprofit entities)
- Equity interest > $10,000 or 5% ownership interest
- Intellectual Property interest in a patent, patent application, or copyright of a software (excluding intellectual property owned by the UC.)

A significant financial interest related to the Investigator’s institutional responsibilities including:

- If publicly traded entity, total value of compensation and equity interest ≥ $5,000
- If non-publicly traded entity, total value of compensation > $5,000 or any equity interest
- 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, 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.

A disclosable financial interest related to the research including:

- Income ≥ $10,000
- Equity interest ≥ $10,000 or 5% in a publicly traded company
- Equity interest 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

With the initial award

With the initial proposal

With any change in an investigator’s financial interest

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)

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

When to Disclose

With renewal award (additional funding intended to extend or results in the extension of a project beyond the originally approved project period)

With a new Investigator(s) is added

With any change in an investigator’s financial interest

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

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With the KR Protocol application

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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

State Disclosure (Form 700U – 3 versions in “Forms” section)

Addendum (Form COI-1CA) or Gift Addendum (Form COI-2), if necessary

Annual Disclosure (KR COI)

Threshold Question (email), if necessary, if necessary

Annual Disclosure (KR COI)

Annual Form 810, if necessary

Annual Disclosure (KR COI)

Annual Form 820, if necessary

KR Protocols application (online)

Addendum (Form COI-1), if necessary

“Equity interest” includes stock, stock options, private equity and other ownership interests.

NASA Implementation Date: December 1, 2023
Updated: November 2023