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>Reporting Triggers</th>
<th>( \text{STATE LAW} )</th>
<th>( \text{NATIONAL SCIENCE FOUNDATION} )</th>
<th>( \text{PUBLIC HEALTH SERVICE} )</th>
<th>( \text{HUMAN SUBJECTS} )</th>
</tr>
</thead>
<tbody>
<tr>
<td>( \text{Who} )</td>
<td>( \text{UC Principal Investigator and co-Principal Investigator, if applicable} )</td>
<td>( \text{UC Investigator(s) (individuals responsible for the design, conduct, or reporting of the funded research project)} )</td>
<td>( \text{UC Investigator(s) (individuals responsible for the design, conduct, or reporting of the funded research project)} )</td>
<td>( \text{All individuals listed in the protocol application as research personnel} )</td>
</tr>
<tr>
<td>( \text{What to Disclose} )</td>
<td>A financial interest in the non-governmental sponsor of the research including:</td>
<td>A significant financial interest related to the research project including:</td>
<td>A significant financial interest related to the investigator’s institutional responsibilities including:</td>
<td>A disclosable financial interest related to the research including:</td>
</tr>
<tr>
<td>( \text{Income} \geq 500 )</td>
<td>Income &gt; $10,000 (excluding income from seminars, lectures, teaching engagements, or service on advisory committees or review panels for public or nonprofit entities)</td>
<td>If publicly traded entity, total value of compensation and equity interest(^1) &gt; $5,000</td>
<td>Income &gt; $10,000</td>
<td>Income ≥ $10,000</td>
</tr>
<tr>
<td>( \text{Investments} \geq 2,000 )</td>
<td>Equity interest(^1) &gt; $10,000 or 5%</td>
<td>If non-publicly traded entity, total value of compensation &gt; $5,000 or any equity interest(^1)</td>
<td>Equity interest(^1) ≥ $10,000 or 5% in a publicly traded company</td>
<td></td>
</tr>
<tr>
<td>( \text{Travel Reimbursements} )</td>
<td>Intellectual Property interest in a patent, patent application, or copyright of a software (excluding intellectual property owned by the UC)</td>
<td>Income received related to intellectual property &gt; $5,000 (excluding intellectual property owned by the UC)</td>
<td>Equity interest(^1) in a privately held company, regardless of the value</td>
<td></td>
</tr>
<tr>
<td>( \text{Loan Balances} \geq 500 )</td>
<td>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)</td>
<td>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)</td>
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<td></td>
</tr>
<tr>
<td>( \text{Personal Gifts Valued at} \geq 500 )</td>
<td></td>
<td></td>
<td>Board of Directors, director, officer, partner, trustee or management position</td>
<td></td>
</tr>
<tr>
<td>( \text{Travel Reimbursements} )</td>
<td></td>
<td></td>
<td>Intellectual Property interest in a patent, patent application, or copyright of a software (excluding intellectual property owned by the UC)</td>
<td></td>
</tr>
</tbody>
</table>

\( \text{When to Disclose} \)
- 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)
- With the initial proposal
- When 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
- 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 any amendment that changes the Lead Researcher or adds Co-Researchers or other research personnel
- With any new related disclosable financial interest

\( \text{Forms} \)
- State Disclosure (Form 700U)
- Addendum (Form COI-1CA) or Gift Addendum (Form COI-2), if necessary
- Annual Disclosure (Form 810, if necessary
- Annual Form 820, if necessary

\( ^1 \)Equity interest includes stock, stock options, and other ownership interests.