1. **Investigator’s Information- Please complete appropriate column**

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| --- | --- |
| **For Subrecipients** | **For Non-UCI Investigators** |
| **Subrecipient Investigator:** Click here to add your name | **Non-UCI Investigator:** Click here to add your name |
| **Subrecipient Institution:** Click here to add institution name | **Non-UCI Primary Employer:** Click here to add your employer |
| **Subrecipient Investigator’s Email:** Click here to add email | **Non-UCI Investigator’s Email:** Click here to add email |

1. **Project Information**

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| --- |
| **UCI Prime Award Principal Investigator:** Click here to add name |
| **Project Title:** Click here to add project title |

1. **Subaward Investigator/Non-UCI Investigator Disclosure**
2. **Financial Interest Disclosure**

Do you, your spouse/registered domestic partner, and/or dependent children have any of the following significant financial interests (exclusions described in the Note below) **directly related to this project**:

* Total income or payment of services received over the past 12 months and/or equity interest in a publicly traded entity exceeding $5,000 when aggregated
* Total income or payment of services received over the past 12 months from a non-publicly traded entity exceeding $5,000
* Any equity interest in a non-publicly traded entity
* Total payments received over the past 12 months for any intellectual property rights and interests (e.g., patent, copyright, assigned or licensed to a party other than the Regents) exceeding $5,000
* Any travel reimbursement or been sponsored for travel (i.e. travel expenses paid on behalf of Investigator and not reimbursed to Investigator), in the past 12 months

Yes  No

Note: Significant financial interests do not include (1) payments made by subrecipient institution/organization (salary, royalties, honoraria, expense reimbursement or any other remuneration) or (2) income from seminars, lectures, or teaching engagements or travel reimbursed or sponsored by a Federal, state, or local government agency, an institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education or (3) an investment by a mutual fund, pension fund or other investment fund over which the investigator or his/her immediate family member does not exercise management of fund investment.

**IV. Training**

Public Health Service (PHS) and Department of Energy (DOE) require each Investigator to complete training regarding conflict of interest prior to engaging in research related to any PHS or DOE compliant award. Please see the [Ethics and Compliance Briefing for Researchers](https://research.uci.edu/wp-content/uploads/ecbfr_pdf.pdf) for PHS training completion which will also satisfy the DOE training requirement. Key components of the training are outlined below:

**Who is considered an “Investigator,” and therefore required to disclose?**  “Investigator” means the project director or principal investigator and any other person, regardless of title or position, who is responsible for the purpose (DOE only), design, conduct, or reporting of research funded by the PHS (e.g., NIH), DOE, or an entity following PHS regulations or DOE policy, or proposed for such funding.

**When do I need to disclose Significant Financial Interests?** 1.) At the time of proposal submission; 2.) Within thirty days of discovering or acquiring any new Significant Financial Interest; 3.) At least annually throughout the period of the award; 4.) Before joining an on-going PHS and DOE funded research project, new Investigators must also complete a disclosure of Significant Financial Interests

**Significant Financial Interest:** A significant financial interest consisting of one or more of the following interests of the Investigator (and those of the Investigator’s spouse/registered domestic partner and dependent children) that are directly related to the PHS/DOE subcontract or the Non-UCI Investigator’s work on a PHS/DOE compliant award:

1. With regard to any foreign or domestic publicly traded entity, any income received from entity in 12 months preceding disclosure and value of any equity interests in entity as of date of disclosure exceeding $5,000 when aggregated for an Investigator, Investigator’s spouse/registered domestic partner, and dependent children from a single Entity (Business, Public or Nonprofit) excluding salary, royalty payments, or any other payments from the subrecipient institution/organization. Equity interest includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value;

2. With regard to any foreign or domestic non-publicly traded entity, any income received from entity in 12 months preceding disclosure, when aggregated, exceeds $5,000; or when Investigator, Investigator’s spouse/registered domestic partner, and dependent children holds any equity interest (e.g., stock, stock option, or other ownership interest);

3. Intellectual property interest held by the Investigator, or Investigator’s spouse/registered domestic partner or dependent children on a patent, patent application, or a copyright of software assigned or to be assigned to a party other than the UC Regents upon receipt of income related to such rights and interests that exceed $5,000 in 12 months preceding disclosure;

4. Any reimbursed or sponsored travel (i.e., that which is paid on behalf of Investigator and not reimbursed to Investigator so that the exact monetary value may not be readily available).

Significant financial interests do not include (1) payments made by subrecipient institution/organization (salary, royalties, honoraria, expense reimbursement or any other remuneration) or (2) income from seminars, lectures, or teaching engagements or travel reimbursed or sponsored by a Federal, state, or local government agency, an institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital (PHS only), a medical center (PHS only), or a domestic research institute that is affiliated with an Institution of higher education or (3) an investment by a mutual fund, pension fund or other investment fund over which the investigator or his/her immediate family member does not exercise management of fund investment.

**How are significant financial interests evaluated?**

1. Review: Financial disclosures are reviewed in accordance with UC Policy. UCI has established the Conflict of Interest Oversight Committee (COIOC), as a mechanism to assess situations where a potential for conflict of interest exists in the design, conduct or reporting of research by virtue of an Investigator’s financial and/or legal ties to the research sponsor or to an entity that could benefit from the research results.
2. Mitigate: The COIOC determines whether the disclosed significant financial interest represents a financial conflict of interest and if so, whether any management strategies should be implemented to mitigate the potential for the conflicting financial interests to compromise the objectivity in which the project is designed, conducted or reported.

**Financial Conflict of Interest (FCOI):** A significant financial interest (as defined below) that is related to research funded by PHS/DOE in which the Investigator is engaged and that could directly and significantly affect the design, conduct, reporting, or funding (DOE only) of PHS/DOE funded research.Per the PHS regulations and DOE policy, UCI is required to report the initial FCOI prior to the expenditure of funds and provide updates on the status of that FCOI with the subsequent progress reports through the lifetime of the award.

**Retrospective Review:** When UCI identifies a SFI that was not disclosed in a timely manner by an Investigator, or which was not previously reviewed during the course of an ongoing PHS/DOE research project, the COIOC will review the SFI within sixty (60) days to determine whether it is related to the PHS/DOE funded research and whether a FCOI exists. If a FCOI is identified after such a review, a management plan must be implemented, at least on an interim basis.

Whenever a FCOI is not identified or not managed in a timely manner (regardless of whether the Investigator did not disclose a SFI that was later determined to be a FCOI, or UCI failed to review or manage the FCOI, or because the Investigator failed to comply with a previously implemented management plan) UCI must complete a retrospective review of the Investigator’s activities and the PHS/DOE funded research project within 120 days of the determination of non-compliance. The purpose of the retrospective review is to determine if the ongoing PHS/DOE funded research project conducted during the time period of the noncompliance was biased in the purpose, design, conduct, or reporting of such research. Based on the results of the retrospective review, any previously submitted FCOI report must be updated to specify the actions that UCI will take to manage the identified FCOI.

If bias was found during the retrospective review, UCI will promptly notify PHS/DOE and will draft a mitigation report that at a minimum documents the key elements of the retrospective review, describes the impact of the bias on the research, and outlines UCI’s plans to eliminate or mitigate the effect of the bias.

**DOE Program Office Discretion:** The DOE Program Offices retain the discretion to implement stricter requirements in addition to those already stated. The additional requirements will be specified in the applicable Funding Opportunity Announcement an/or terms and conditions of the financial assistance award. These stricter requirements include but are not limited to:

* Require FCOI reports to include managed and unmanaged FCOIs
* Expand the definition of “Investigator” to include any person who *participates* in the purpose, design, conduct, or reporting of a project funded by DOE or proposed for funding by DOE
* Require UCI to routinely submit all or some Investigator disclosures of financial interests

**V. Acknowledgement and Certification**

**Disclosure Certification:** By signing or typing my name below, I certify that, to the best of my knowledge, this is a complete and accurate disclosure of all my significant financial interests directly related to this research project and I have used all reasonable diligence in preparing this Financial Interest Disclosure. I also acknowledge that it is my responsibility to disclose, within 30 days, any new significant financial interests obtained during the term of the above proposed project.

**Training Certification:** I also certify that I have read and completed the UC Ethics and Compliance Briefing for Researchers as required by the Public Health Service regulations and Department of Energy conflict of interest policy and hereby agree to follow the Conflict of Interest policy established and enforced by the University of California, Irvine. See [UCI’s policy](http://research.uci.edu/conflict-of-interest/coi-policies/#policies-tabs-2).

**For Department of Energy awards only (Not required for PHS/NIH awards)**: I understand that this Disclosure is required to obtain funding from the U.S. Government. I, Click here to enter Full Name and Title, certify to the best of my knowledge and belief that the information contained in this Disclosure Statement is true, complete, and accurate. I understand that any false, fictitious, or fraudulent information, misrepresentations, half-truths, or omissions of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims, or otherwise. (18 U.S.C. §§ 1001 and 287, and 31 U.S.C. 3729-3730 and 3801-3812). I further understand and agree that (1) the statements and representations made herein are material to U.S. Government’s funding decision, and (2) I have a responsibility to update the disclosures during the period of performance of the award should circumstances change which impact the responses provided above.

Signature of Investigator: type or sign your name here certifying the above statements Date: Click here to add a date

The information provided herein may be released or transmitted to the sponsor, including federal agency representatives, and according to the California Public Records Act, may also be released to the public, upon request. These records will be retained for 3 years after termination of sponsored project or until resolution of any action by the sponsor, whichever is greater. The Office of Research is the office of record.