

UC Riverside Conflict of Interest Disclosure Chart

Investigators must disclose their financial interests received within the 12 months prior to disclosure submission including the financial interests of their immediate family member. All disclosures must be approved prior to acceptance of the award or additional funding, and/or to expenditure of funds.

	STATE LAW	NATIONAL SCIENCE FOUNDATION and NATIONAL AERONAUTICS & SPACE ADMINISTRATION	PUBLIC HEALTH SERVICE and DEPARTMENT OF ENERGY
Reporting Triggers	<ul style="list-style-type: none"> • Research contract/grant from a non-governmental entity as the prime and/or direct sponsor. • Research Gifts earmarked for a specific individual or specific research project. • Material Transfer Agreement 	<ul style="list-style-type: none"> • NSF research contracts and grants • NASA research contract and cooperative agreements • Non-governmental entity which flows down NSF/NASA funds (including SBIR/STTR subawards) • 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) 	<ul style="list-style-type: none"> • PHS grant, cooperative agreement, contract, or DOE financial assistance award (e.g., grant, cooperative agreement, or technology investment agreement) • Non-governmental entity which flows down PHS/DOE funds • Research Funding from organizations that follow PHS/DOE disclosure requirements (i.e., American Cancer Society, American Heart Association). Complete list here.
Exclusions	<ul style="list-style-type: none"> • All exempt sponsors: FPPC exempt list • All non-profit, tax-exempt educational institutions. However, researchers must disclose for the prime sponsor if the educational institution received funding from a non-governmental entity. 	N/A	<ul style="list-style-type: none"> • SBIR Phase I or STTR Phase I award • Office of Indian Energy
Who	<ul style="list-style-type: none"> • All persons employed by UC who have principal responsibility for a research project if the project is to be funded or supported, in whole or in part, by a contract or grant (or other funds earmarked by the donor for a specific researcher) from a non-governmental entity. • All persons employed by UC who have principal responsibility for a research project if the project is to be funded or supported, in whole or in part, by a gift (earmarked by the donor for a specific researcher) from a non-governmental entity. 	<ul style="list-style-type: none"> • All investigators responsible for the “design, conduct or reporting” of the NSF-funded research project or educational activities to disclose their significant financial interests related to the research project or educational activities. Investigators must also disclose the financial interests of their spouses/registered domestic partners and dependent children. UCR’s policy is consistent with the “Investigator Financial Disclosure Policy” of the NSF. 	<ul style="list-style-type: none"> • All individuals “with responsibility for the design, conduct, reporting, or purpose¹ of the research” must disclose the “significant” and “related” financial or management interests to the research described in the proposal for themselves, their spouses/registered domestic partners, and their dependent children.
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"> • Salary, honoraria, royalties, venture or other capital financing, or other payments > \$10,000 (<i>excluding income from seminars, lectures, teaching engagements, or service on advisory committees or review panels for public or nonprofit entities</i>) • Equity interest² > \$10,000 or 5% ownership interest • Intellectual Property interest in a patent, patent application, or copyright of a software (<i>excluding intellectual property owned by the UC.</i>) 	<p>A significant financial interest related to the Investigator’s <u>institutional responsibilities</u> including:</p> <ul style="list-style-type: none"> • If publicly traded entity, total value of compensation <u>and</u> equity interest² > \$5,000 • If non-publicly traded entity, total value of compensation > \$5,000 <u>or</u> any equity interest² • Income received related to intellectual property > \$5,000 (<i>excluding intellectual property owned by the UC.</i>) • Any reimbursed or sponsored travel (<i>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.</i>)

¹ DOE only.

² “Equity interest” includes stock, stock options, private equity, and other ownership interests.

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 (<i>New significant financial interests must be reported within 30 days of acquiring or discovering the new SFI.</i>)
Forms	<ul style="list-style-type: none"> • All investigators must submit their financial disclosures to Kualu COI. Kualu is an interactive online form that requests financial interest information based on the research sponsor's regulations including State, Public Health Service (PHS), Department of Energy (DOE), National Science Foundation (NSF), and National Aeronautics and Space Administration (NASA). • You can find the forms in Kualu COI. 		
Training	<ul style="list-style-type: none"> • There is no required COI training for investigators. 	<ul style="list-style-type: none"> • There is no required COI training for investigators. 	<ul style="list-style-type: none"> • All UCR Investigators applying for and/or receiving PHS/ DOE funding must complete "General Compliance Briefing: University of California Ethical Values and Conduct" in LMS