

### UC Riverside 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.

	STATE LAW	NATIONAL SCIENCE FOUNDATION	PUBLIC HEALTH SERVICE and DEPARTMENT OF ENERGY
Reporting Triggers	<ul style="list-style-type: none"> <li>Research contract/grant from a non-governmental entity</li> <li>Research Gifts earmarked for a specific individual or a specific research project</li> <li>Material Transfer Agreement</li> </ul> <p><i>Note: Exclude all exempt sponsors on <a href="#">FPPC approved list</a> and all non-profit, tax- exempt educational institutions. However, researchers must disclose for the prime sponsor if the educational institution received its funds from a non-governmental entity.</i></p>	<ul style="list-style-type: none"> <li>NSF research contract/grant</li> <li>Non-governmental entity <u>which flows down</u> NSF funds</li> <li>UC Discovery Grant</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> <p><i>Note: Exclude Phase 1 SBIR or STTR</i></p>	<ul style="list-style-type: none"> <li>PHS or DOE research contract/grant</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> <p><i>Note: Exclude Phase 1 SBIR or STTR and Office of Indian Energy</i></p>
Who	UCR Principal Investigator and co-Principal Investigator, if applicable	UCR Investigator(s) (individuals responsible for the design, conduct, or reporting of the funded research project)	UCR 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
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>Income &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%</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>
When to Disclose	<ul style="list-style-type: none"> <li>At proposal stage</li> <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> <li>When a research gift is earmarked for a specific individual or a specific research project</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> <li>Or at least, annually</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>
Forms	<ul style="list-style-type: none"> <li>State Disclosure (Form 700-U)</li> <li>UCR COI Addendum for Positive 700-U and NSF 925 (supplement), if necessary</li> </ul>	<ul style="list-style-type: none"> <li>UCR NSF 925 Disclosure Form</li> <li>UCR COI Addendum for Positive 700-U and NSF 925 (supplement), if necessary</li> </ul>	<ul style="list-style-type: none"> <li>PHS Form 500 or DOE Form 500</li> <li>Supplemental forms (PHS 510, PHS 520 or DOE 510, DOE 520), if necessary</li> </ul>

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