

Financial Disclosure for DOE-Funded Research (Form DOE 500) New and Annual Disclosure

Financial Interests Related to Institutional Responsibilities- Please type your responses in the form.

In accordance with the [2021 Department of Energy \(DOE\) Interim Conflict of Interest Policy Requirements for Financial Assistance](#), the Principal Investigator or any other person who is responsible for the purpose, design, conduct, or reporting of a project funded by DOE, must disclose their personal significant financial interests (and those of their spouse/registered domestic partner and/or dependent children) related to their institutional responsibilities. The DOE Interim COI Policy also gives DOE program offices discretion to expand the definition to include any person who participates in the purpose, design, conduct, or reporting of such a project.

Training: All UCR Investigators are required to complete the [Ethics and Compliance Briefing for Researchers \(ECBR\)](#) training found on [UC Learning Center](#), every two years to satisfy the UC Ethics and Compliance and PHS/DOE training requirements.

I. Project Information

Principal Investigator: _____ Sponsor Award Number (if known): _____

Investigator: _____

Project Begin Date: _____ Project End Date: _____

Project Title: _____

Sponsor:

DOE

Subcontract of DOE funds from _____

II. Type of Proposal/Disclosure

New Proposal	Supplemental Funding
Annual Reporting/Non-Competing Continuation	No Cost Time Extension
Renewal/Competing Continuation	New Investigator Added to Project

III. Principal Investigator/Investigator Disclosure

For the purpose of this disclosure form, **Institutional Responsibilities** means an Investigator's teaching/education, research, outreach, clinical service, and University and public service on behalf of the University of California which are in the course and scope of the Investigator's University of California appointment/employment.

1. Publicly Traded Entity

Income and Equity Interests - Have you, your spouse or registered domestic partner, and/or dependent children received income or payment for services in the past 12 months or own equity interest in any publicly traded entity related to your institutional responsibilities exceeding \$5,000 when **aggregated**? This does not include interests in mutual funds and retirement funds in which you do not directly control investment decisions.

Yes No

2. Non-Publicly Traded Entity

a. **Income** - Have you, your spouse or registered domestic partner, and/or dependent children received income or other payment for services, in the past 12 months, related to your institutional responsibilities, exceeding \$5,000, when aggregated, from any non-publicly traded entity? This does not include payments from The Regents, or income from seminars, lectures, or teaching engagements sponsored by a federal, state, or local government agency, a US institution of higher education or an affiliated research institute, an academic teaching hospital, or a medical center.

Yes No

b. **Equity Interests** - Do you, your spouse or registered domestic partner, and/or dependent children currently own, or have acquired in the past 12 months, any equity interest in any non-publicly traded entity related to your institutional responsibilities? This can include any stock, stock option or other ownership interest.

Yes No

3. Intellectual Property Rights and Interests

Have you, your spouse or registered domestic partner, and/or dependent children received any payments, in the past 12 months, for any intellectual property rights and interests (e.g. patents, copyrights, assigned or licensed to a party other than The Regents) related to your institutional responsibilities? See additional information below.

Yes No

4. Travel Reimbursement/Sponsorship

Have you received **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, by any entity related to your institutional responsibilities? This does not include travel sponsored or reimbursed by a federal, state, or local government agency, a US institution of higher education or an affiliated research institute, an academic teaching hospital, or a medical center. See additional information below.

Yes No

5. Acknowledgement and Certification

By typing my name below as my signature, I certify this is a complete disclosure of all my financial interests related to my institutional responsibilities and I have used all reasonable diligence in preparing this Financial Interest Disclosure, and to the best of my knowledge it is true and complete. I also acknowledge that it is my responsibility to disclose, within 30 days, any new significant financial interests obtained during the term of my active PHS/DOE compliant projects.

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For Department of Energy Awards: I understand that this Disclosure is required to obtain funding from the U.S. Government.

I, _____, 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: _____ Date: _____

Records: 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.

Definitions:

- **Income** includes salary, consulting fees, honoraria, paid authorship, income received related to intellectual property rights and interests, etc. not paid by or assigned to the UC Regents.
- **Institutional Responsibilities** is defined as teaching/education, research, outreach, clinical service, training and University and public service, on behalf of UCI and directly related to those credentials, expertise and achievements upon which the Investigator's UCI position is based.
- A **new Significant Financial Interest (SFI)** is a different type or nature of SFI (e.g., royalty payment versus consulting fees) than what had previously been disclosed from the same source that meets or exceeds the threshold. In addition, a "new" SFI is also considered to be the same type or nature of SFI (e.g., royalty payment) from a different source (e.g., company A versus company B).
- A **Significant Financial Interest** includes one or more of the following interests of the Investigator, Investigator's spouse/registered domestic partner, and dependent children that reasonably appear related to the Investigator's Institutional Responsibilities:
 - For a foreign or domestic publicly traded entity: Income or other payment for services including salary, and any payment for services not otherwise identified as salary, including but not limited to, consulting payments, honoraria, paid authorship, or any other payments received during the prior twelve months and the value of any equity interests (including stock, stock options or other ownership interests, as determined by public prices or other reasonable measure of fair market value) in the entity as of the date of disclosure, which when aggregated, exceeds \$5,000.
 - For a foreign or domestic non-publicly traded entity: Income or other payment for services including salary, and any payment for services not otherwise identified as salary, including, but not limited to, consulting payments, honoraria, paid authorship, any other payments received during the prior twelve months, which when aggregated, exceeds \$5,000 or any equity interest (regardless of valuation) including, but not limited to stock, stock options, or ownership interest in the entity.
 - Intellectual property rights and interests: Income from each foreign or domestic entity/organization that exceeds \$5,000 during the twelve months preceding disclosure from such rights and interests, excluding payments from intellectual property owned by the UC Regents.
 - Travel: Reimbursement of any amount received during the prior twelve months made to, or on behalf of, the Investigator, regardless of amount, by a for-profit or non-profit entity excluding: US federal, state or local governments, U.S. institutions of higher education, academic teaching hospitals (PHS only), medical centers (PHS only), and US research institutes that are affiliated with an institution of higher education. Investigators should also exclude the travel reimbursements or sponsorships of their spouses/registered domestic partners and dependent children. *Note: Travel Disclosures are collected in the Form DOE 515.*
- **Intellectual Property Rights and Interests:** DOE Interim COI Policy indicates that intellectual property rights and interests (e.g., patents, copyrights) must be disclosed upon receipt of income related to such rights and interests. Until further notice, all Investigators must disclose all intellectual property rights and interests (e.g., patents, copyrights) upon receipt of income related to such rights and interests, regardless of the dollar amount of income received.
- **What is a Financial Conflict of Interest?** The DOE Interim COI Policy defines an FCOI as a situation in which a significant financial interest or financial relationship that could directly and significantly affect the design, conduct, reporting, or funding of the project.
- **Who is considered an "Investigator," and therefore required to disclose?** The Principal Investigator and any other person who is *responsible* for the purpose, design, conduct, or reporting of a project funded by DOE. The DOE Interim COI Policy also gives DOE program offices discretion to expand the definition to include any person who *participates* in the purpose, design, conduct, or reporting of such a project.
- **What is an entity?** *Entity* means any domestic or foreign, public or private, organization (excluding a Federal agency) from which an Investigator (and spouse and dependent children) receives remuneration or in which any person has an ownership or equity interest.
- **What is Sponsored or Reimbursed Travel?** The DOE Interim COI Policy indicates that Investigators must disclose the occurrence of reimbursed or sponsored travel related to their institutional responsibilities that is not otherwise disclosed in current and pending or other support disclosures.
- **What is not a "Significant Financial Interest"?** Significant financial interests do **not** include (1) payments made by The Regents (salary, royalties, honoraria, expense reimbursement or any other remuneration) or (2) income from seminars, lectures, or teaching engagements 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.