



Financial Disclosure Addendum for DOE-Funded Research (Form 520)

For Public Health Service/National Institutes of Health and Department of Energy compliant projects

I. BACKGROUND

Name of Disclosing Individual (DI):

Are you the Director or Co-Director of a UCR Center/Institute/Organized Research Unit/Special Research Project, etc.? (Check one)

☐ No ☐ Yes, UCR Center name: _____

(Optional) Admin. Contact Email: _____

Research Project Title: _____

Proposal Number: _____

For UCR Subawards/Subcontracts only- Name of the (non-UCR) Prime Award PI: _____

IRB Protocol Number: _____ ☐ Pending Submission

II. ENTITY AND PROJECT

Name of Outside Entity: _____

Website of Outside Entity: _____

1. Overlap of Entity's Interests and Research Project (Check all that apply):

- ☐ Entity is the Sponsor
- ☐ Entity is the Author of this research project
- ☐ Entity may be interested in licensing Intellectual Property (IP) developed or discovered in this research project
- ☐ Research project involves or relates to Entity's product or services, either directly or indirectly
- ☐ Research project involves or relates to product or services similar to Entity's or that competes with Entity's
- ☐ Entity may be affected by or interested in the results of the research project
- ☐ Entity is providing the following resources (e.g., test materials, data, software apps, equipment, etc.)
please list: _____
- ☐ Other: _____

2. Does the Entity have any interests in existing Intellectual Property (IP) involved in this research project?

- ☐ No (skip to section III)
- ☐ Yes, IP is assigned to the Entity
- ☐ Yes, IP is assigned to UC Regents &
☐ is licensed to the Entity ☐ is in the process of being licensed to the Entity
- ☐ Yes, other: _____

2a. Disclosing Individual

- ☐ Disclosing individual is an inventor on this above-mentioned IP involved in the research project.
- Provide patent name and number or provisional patent application information: _____
 - Provide brief non-technical description of the IP: _____

2b. Purpose of above-mentioned IP in the research project

- ☐ Research project is testing/validating the IP
- ☐ Research project is developing/refining the IP



☐ Research project is utilizing the IP, which is not the focus of the research project

☐ Other, explain: _____

III. DISCLOSING INDIVIDUAL AND PROJECT

1. Is the Disclosing Individual the Supervisor and/or Faculty Advisor of anyone on this research project? (Check one)

☐ No, Disclosing Individual does not supervise or advise anyone on this research project - go to question 2.

☐ Yes, complete 1a-1c.

1a. The Disclosing Individual is the Supervisor and/or Faculty Advisor of the following personnel in this project:

(Check all that apply)

☐ Undergraduate students

☐ Graduate students

☐ Postdoctoral fellows

☐ Research Personnel

1b. Are there any restrictions on publications or presentations?

☐ No

☐ Yes, describe: _____

1c. Is there a non-conflicted individual of equal or higher rank that co-supervises or co-advises those individuals?

☐ No

☐ Yes, provide name(s): _____

2. What is the Disclosing Individual's role on the project? Check all that apply to the Disclosing Individual. For the tasks checked, indicate if there are any others also performing those tasks by providing their names and titles.

☐ Data collection: _____

☐ Access to project data: _____

☐ Data analysis: _____

☐ Data reporting: _____

☐ Study/project design: _____

☐ Other, describe role: _____

3. To your knowledge, is there anyone else involved in this UCR project that has or will have a financial interest in this Entity? ☐ No

☐ Yes, describe (who, their financial interest, and their specific role in the project): _____

4. Are there any additional mitigating factors that have been or will be taken to protect the research from bias or the appearance of bias? (Check all that apply)

☐ Disclosing Individual is not the UCR Principal Investigator or Lead Researcher

☐ Single-blinded/single-masked study/project

☐ Double-blinded/double-masked study/project

☐ Randomized study/project

☐ Multi-center study/project, number of non-UCR sites: _____

☐ Entity is a large company (annual revenue > \$100 million and/or has > 500 employees) with many products (> 10 products) unrelated to this research

☐ All results from this project will be made open-sourced



- ☐ There has been a COI Liaison identified, who will provide additional conflict of interest oversight for this project.
- ☐ Other: _____
- ☐ None of the above

IV. VERIFICATION

By typing my name below as my signature, I certify under penalty of perjury that this is a complete disclosure of all significant financial interests from this entity related to the specified project and I have used all reasonable diligence in preparing this Addendum, which is true and complete to the best of my knowledge. 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 project. If required, I also confirm that all research project team members are included in my disclosure email.

For Department of Energy awards only (Not required for PHS/NIH/NSF 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: _____

Notes: 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 per the applicable retention policy or until resolution of any action by the sponsor, whichever is greater. The Office of Research and Economic Development is the office of record.