

UC Santa Barbara 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 spouse, registered domestic partner, and/or dependent child(ren). All positive disclosures must be approved prior to acceptance of the award or additional funding or to expenditure of funds.

	700U	NSF & NASA	PHS	DOE	MFTRP
Disclosure Requirement Triggers	<ul style="list-style-type: none"> • Sponsored research funded in whole or in a part by a non-exempt non-governmental sponsor. • Research gifts funded by a non-exempt non-governmental sponsor. 	<ul style="list-style-type: none"> • NSF research contracts and grants • NASA research contract and cooperative agreements • Subawards which flow down NSF/NASA funds (including SBIR/STTR subawards) • Research funding from sponsors that have adopted similar requirements 	<ul style="list-style-type: none"> • PHS grant, cooperative agreement, or contract • Subawards which flow down PHS funds • Research funding from sponsors that have adopted similar requirements 	<ul style="list-style-type: none"> • DOE financial assistance award (e.g., grant, cooperative agreement or technology investment agreement) • Subawards which flow down from DOE funds 	<ul style="list-style-type: none"> • Federal or federally-funded proposal
Exclusions	<ul style="list-style-type: none"> • Organizations exempt from this requirement: entities on the FPIC exempt list • Non-profit tax-exempt educational institutions 	N/A	<ul style="list-style-type: none"> • Phase 1 SBIR or STTR 	<ul style="list-style-type: none"> • Phase 1 SBIR or STTR • Office of Indian Energy 	N/A
Who is Required to Disclose	Individuals who have principal responsibilities on projects funded in whole or in a part by a non-governmental sponsor or who received research gifts from a non-governmental sponsor.	Individuals responsible for the design, conduct, or reporting of the research.	Individuals responsible for the design, conduct, or reporting of the research.	Individuals responsible for the purpose, design, conduct, or reporting of the research.	PIs, Co-PIs and Key Personnel.
What to Disclose	<p>A financial interest in the sponsor of the research, including:</p> <ul style="list-style-type: none"> • Compensation ≥ \$500 • Investments ≥ \$2,000 • Director, officer, partner, trustee, consultant, employee or management position • Loan ≥ \$500 • Gifts Valued at ≥ \$50 • Travel Reimbursement 	<p>A significant financial interest related to the sponsored project, including:</p> <ul style="list-style-type: none"> • Income > \$10,000 <p>- includes salary, consultant payments, honoraria, royalty payments, dividends, loans or any other payments or consideration with value</p> <p>- excludes income from seminars, lectures, teaching engagements, or service on advisory committees or review panels for public or nonprofit entities</p> <ul style="list-style-type: none"> • Equity interest > \$10,000 <u>or</u> > 5% ownership interest • Venture or capital financing • Intellectual property interest in a patent, patent application, or copyright of a software (excluding IP owned by The Regents) 	<p>A significant financial interest related to the investigator's institutional responsibilities, including:</p> <ul style="list-style-type: none"> • For a publicly traded entity, income (includes but not limited to salary, consulting payments, honoraria and paid authorship) and equity interests that, when aggregated, > \$5,000 • For a non-publicly traded entity, income (includes but not limited to salary, consulting payments, honoraria and paid authorship) > \$5,000 <u>or</u> any equity interest <p>- excludes income from seminars, lectures, teaching engagements, or service on advisory committees or review panels sponsored by a US federal, state or local government, a US institution of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with a US institution of higher education</p> <ul style="list-style-type: none"> • Intellectual property income > \$5,000 (excluding IP owned by The Regents) • Reimbursed or sponsored travel <p>-excludes travel that is reimbursed or sponsored by a US federal, state, or local government agency, a US institution of higher education, or a research institute affiliated with a US institution of higher education; and sponsored or reimbursed travel for a spouse, registered domestic partner and/or dependent child(ren)</p>	<p>A significant financial interest related to the investigator's institutional responsibilities, including:</p> <ul style="list-style-type: none"> • For a publicly traded entity, income (includes but not limited to salary, consulting payments, honoraria and paid authorship) and equity interests that, when aggregated, > \$5,000 • For a non-publicly traded entity, income (includes but not limited to salary, consulting payments, honoraria and paid authorship) > \$5,000 or any equity interest <p>- excludes income from seminars, lectures, teaching engagements, or service on advisory committees or review panels sponsored by a US federal, state or local government, a US institution of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with a US institution of higher education</p> <ul style="list-style-type: none"> • Royalty income or payments of any value received related to intellectual property (excluding IP owned by the The Regents) • Reimbursed or sponsored travel <p>-excludes travel that is reimbursed or sponsored by a US federal, state, or local government agency, a US institution of higher education, or a research institute affiliated with a US institution of higher education; and sponsored or reimbursed travel for a spouse, registered domestic partner and/or dependent child(ren)</p>	<p>The questionnaire asks 1-3 questions, depending on the individual's answers to questions regarding:</p> <ul style="list-style-type: none"> • Participation in a program, position, or activity sponsored by specified countries or based in one of the specified countries. • Participation in a program, position, or activity that it funded, organized, or managed by an entity on a specified document. • Program, position, or activity that require any of a list of activities.
When to Disclose	<ul style="list-style-type: none"> • Before final acceptance of such a contract, grant, or gift • When funding is renewed 	<ul style="list-style-type: none"> • At the time of proposal submission • Annually throughout the period of the award • As new investigators are added to the project • As investigator's financial interests change (within 30 days of those changes) 	<ul style="list-style-type: none"> • At the time of proposal submission • Annually throughout the period of the award • As new investigators are added to the project • As investigator's financial interests change (within 30 days of those changes) 	<ul style="list-style-type: none"> • At the time of proposal submission • Annually throughout the period of the award • As new investigators are added to the project • As investigator's financial interests change (within 30 days of those changes) 	<ul style="list-style-type: none"> • Annually
What COI Form(s) Apply	<ul style="list-style-type: none"> • California Form 700-U • Addendum, if assigned by COI staff 	<ul style="list-style-type: none"> • National Science Foundation (NSF) - Annual Disclosure Form • Addendum, if assigned by COI staff 	<ul style="list-style-type: none"> • Public Health Services (PHS) - Annual Disclosure Form • Addendum, if assigned by COI staff 	<ul style="list-style-type: none"> • Department of Energy (DOE) - Annual Disclosure Form • Addendum, if assigned by COI staff 	<ul style="list-style-type: none"> • Certification of non-participation in Malign Foreign Talent Recruitment Programs