

## 800 PI Packet

**The Principal Investigator (PI) must submit (1) an 800 Investigator List (800 IL form) and (2) an 800D Disclosure Form for each Investigator on the 800 Investigator List at the point of each proposal submission. Proposals and supplemental funding requests will not be submitted by OSP until the PI has submitted these required forms.**

If the answer is "**No**" for ALL investigators, no other paperwork needs to be filed UNLESS a change occurs in the financial status of anyone designated as having independent responsibility for designing, conducting, or reporting the results of the sponsored project (an 'Investigator').

If the answer is "**Yes**" for ANY 'Investigator' an 800 Financial Disclosure Form and addendum must be filed by that individual for review by the the UCSC Conflict of Interest Review Committee.

**Separate Disclosures are required for each grant:**

- Prior to submission of competing proposals (new & renewal)
- Prior to submission of supplemental funding requests
- When a new Investigator with a RFI joins a ongoing project
- Within 30 days of an Investigator acquiring or discovering a new significant financial interest

## Definitions

**Investigator** is defined as ‘the principal investigator, co-principal investigators/co-project directors, and any other person at the institution who is responsible for the design, conduct, or reporting of research or educational activities funded or proposed for funding by NSF.’

**Significant Financial Interest (SFI)** is defined as anything of monetary value including but not limited to:

- Salary, income, honoraria, royalties, dividends, consulting, loans, travel reimbursement, or other payment or consideration with value (e.g. equipment loans) from any business, public, or nonprofit entity exceeding \$10,000 during the prior twelve months, aggregated for the investigator, spouse, and dependent child(ren)
- Equity interest, Venture, or Other Capital Financing (stock, stock options, real estate, etc.) that exceeds \$10,000 or 5% ownership
- Management position such as board member, director, officer, partner, or trustee held by the investigator
- Intellectual property interest held by the investigator, spouse, and dependent child(ren) assigned or to be assigned to a party other than the Regent

**Please note that SFI does not include:**

- Income from seminars, lectures, or teaching engagements sponsored by public or non-profit entities
- Income from service on advisory committees or review panels for public or nonprofit entities

**Related Financial Interest (RFI)** is defined as work performed under a sponsored project, which results would appear to affect the investigator’s SFI. The following examples of situations which are considered RFIs:

- The results of the sponsored project being carried out by Investigator would be relevant to development, manufacturing, or improvement of product or service of entity in which the investigator has a SFI
- The Investigator has a financial interest in an entity which might manufacture or commercialize a drug, device, procedure, or any other product used in the project or that will predictably result from the project
- The Investigator gets consulting income from a single entity that exceeded \$10,000 during the prior twelve months and the financial interests of that entity, or the Investigator’s financial interest related to consulting for that entity, would reasonably appear to be affected by the research to be conducted

## 800 IL Form

To complete this form, the Principal Investigator (PI) must identify all (campus) Study Team personnel who have responsibility for the design, conduct or reporting on this project. All personnel named on this form must also complete an 800 D Form.

Number of campus personnel (including PI) with responsibility for design, conduct or reporting on this project.

First and last name of Principal Investigator.

OSP ID Number:

PI Phone Number

Sponsor Award Number (*if awarded*):

PI E-mail

1. First and last name of (campus) personnel on Study Team who have responsibility for the design, conduct or reporting on this project.

Phone Number

E-mail

2. First and last name of (campus) personnel on Study Team who have responsibility for the design, conduct or reporting on this project.

Phone Number

E-mail

3. First and last name of (campus) personnel on Study Team who have responsibility for the design, conduct or reporting on this project.

Phone Number

E-mail

4. First and last name of (campus) personnel on Study Team who have responsibility for the design, conduct or reporting on this project.

Phone Number

E-mail

5. First and last name of (campus) personnel on Study Team who have responsibility for the design, conduct or reporting on this project.

Phone Number

E-mail

6. First and last name of (campus) personnel on Study Team who have responsibility for the design, conduct or reporting on this project.

Phone Number

E-mail

7. First and last name of (campus) personnel on Study Team who have responsibility for the design, conduct or reporting on this project.

Phone Number

E-mail

8. First and last name of (campus) personnel on Study Team who have responsibility for the design, conduct or reporting on this project.

Phone Number

E-mail

Project approval will be delayed until all above-listed personnel on this project submit an 800D Form to the Office of Sponsored Projects (OSP). The Principal Investigator is responsible for ensuring that he or she and all of the other above-listed personnel have submitted financial disclosures.

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Signature of Principal Investigator

Date

**Financial Disclosure Form 800D**

This Submittal is for:  New Disclosure  Updated Disclosure

Investigator Making Disclosure

Investigator Email Address

Investigator Phone Number

Principal Investigator Name (if different)

Proposal/Project Title

OSP ID Number

Sponsor Award Number *(if awarded)*

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**All Investigators** must answer the following question:

Do you, your spouse, or dependent child(ren) have any Significant\* and Related Financial Interest(s)\* that would:

- (i) reasonably appear to be affected by the research for which funding is sought or,
- (ii) are in the sponsor of the research or
- (iii) are in entities whose financial interests would reasonably be affected by the research?

\*See next page for definitions.      Yes      No

If you answered **YES**, and the funding has been or definitely will be awarded, please complete the addendum pages, sign and submit to ORCA.

If you answered **YES**, and the funding is still in the proposal stage, please sign and submit to your OSP staffer.

When you get notification that the funding will be awarded, please complete the addendum pages, sign and submit to ORCA.

If you answered **NO**, please sign this form and submit with your proposal.

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Investigator Signature

Date

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- Salary, income, honoraria, royalties, dividends, consulting, loans, travel reimbursement, or other payment or consideration with value (e.g., equipment loans) from any business, public, or nonprofit entity exceeding \$10,000 during the prior twelve months, aggregated for the Investigator, spouse, and dependent child(ren).
- Equity interest (stock, stock options, real estate, etc.) that exceeds \$10,000 or 5% ownership.
- Management position such as board member, director, officer, partner, or trustee held by the Investigator.
- Intellectual property interest held by the Investigator, spouse, and dependent child(ren) assigned or to be assigned to a party other than the Regents.

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**Related Financial Interest (RFI)** is defined as *work performed under a sponsored project, which results would appear to affect the Investigator's SFI.* The following are examples of situations which are considered RFIs:

- The results of the sponsored project being carried out by Investigator would be relevant to development, manufacturing, or improvement of product or service of entity in which the Investigator has a SFI.
- The investigator has a financial interest in an entity which might manufacture or commercialize a drug, device, procedure, or any other product used in the project or that will predictably result from the project.
- The Investigator gets consulting income from a single entity that exceeded \$10,000 during the prior twelve months and the financial interests of that entity, or the Investigator's financial interest related to consulting for that entity, would reasonably appear to be affected by the research to be conducted.