

## Research Disclosure Matrix

	NSF and other Non-PHS Federal Agency	PHS and DOE ( <a href="#">and other entities adopting the PHS disclosure rules</a> )	Non-Governmental, State Law Agencies Not on <a href="#">Exempt List</a>
Reporting Triggers	<ul style="list-style-type: none"> <li>▪ NSF contract/grant for research and/or educational activity</li> <li>▪ Non-governmental entity that flows down NSF funds (excluding SBIR/STTR Phase I grants)</li> <li>▪ California Institute for Regenerative Medicine (CIRM) grant</li> </ul>	<ul style="list-style-type: none"> <li>▪ PHS and DOE contract/grant for research (including research contracts and grants, career development awards, center grants, individual fellowships, infrastructure awards, institutional training grants, program projects, research resource awards and conference grants)</li> <li>-Non-governmental entity which flows down PHS funds (excluding SBIR/STTR Phase 1 grants)</li> <li>▪ Grant from other non federal sponsors that adopt the PHS policy or DOE policy (<a href="#">see agency list</a>)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Research contract/grant from a non-governmental entity (including the industry sponsor match for subawards made under SBIR/STTR grants)</li> <li>▪ Gift (earmarked specifically for research or for a specific PI)</li> <li>▪ Material Transfer Agreement</li> <li>▪ Data use Agreement</li> </ul>
Who Must Disclose	<ul style="list-style-type: none"> <li>▪ UCSC Principal Investigator(s) and others with Significant Financial Interests</li> <li>▪ PI certifies on behalf of all Investigators with responsibility for design, conduct, or reporting of research.</li> </ul>	<ul style="list-style-type: none"> <li>▪ UCSC Investigators (individuals responsible for the design, conduct, or reporting of the funded research project).</li> </ul>	<ul style="list-style-type: none"> <li>▪ Principal Investigator &amp; Co-Principal Investigator, if applicable</li> </ul>
What to Disclose	Significant Financial Interests* (see “Significant Financial Interests” below) <ol style="list-style-type: none"> <li>1) That would reasonably appear to be affected by the research (or educational activities) funded or proposed for funding; or</li> <li>2) Are in entities who financial interests would reasonably appear to be affected by such activities</li> </ol>	Significant Financial Interests* (see “Significant Financial Interests” below) related to the Investigator’s institutional responsibilities: 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 UC appointment/employment	A financial interest in the sponsor of the research* (See “Significant Financial Interests” below).
When to Disclose	<ul style="list-style-type: none"> <li>▪ With proposals (new and renewal)</li> <li>▪ With non-competing continuation</li> <li>▪ With supplemental funding requests</li> <li>▪ When a new Investigator joins an ongoing project</li> <li>▪ Whenever there is a change in an Investigator’s interest</li> </ul> <p><i>Note: All positive disclosures must be reviewed and approved prior to acceptance of an award or additional support, and before a new investigator joins an ongoing project.</i></p>	<ul style="list-style-type: none"> <li>▪ With proposals (new &amp; renewal)</li> <li>▪ With non-competing continuation</li> <li>▪ With no cost time extension</li> <li>▪ With supplemental funding requests</li> <li>▪ When a new Investigator joins a ongoing project</li> <li>▪ Within 30 days of an Investigator acquiring or discovering a new significant financial interest</li> <li>▪ At least annually through the life of a PHS or DOE-supported research grant/contract</li> </ul> <p><i>Note: All positive disclosures must be reviewed and approved prior to acceptance of an award, requests for no cost time extensions or additional support, and before a new investigator joins an ongoing project.</i></p>	<ul style="list-style-type: none"> <li>▪ With the initial proposal</li> <li>▪ With the initial gift award</li> <li>▪ With the MTA/DUA request</li> <li>▪ With requests for additional support</li> </ul> <p><i>Note: All positive disclosures must be reviewed and approved prior to acceptance of the award or additional support.</i></p>

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Disclosure Forms	<p>800D</p> <p>All Investigators who indicate a Significant Financial Interest on the 800D must complete the COI Addendum Form</p>	<p>900D</p> <p>All Investigators who indicate a Significant Financial Interest on the 900D must complete the 910 Appendix and may be asked to complete 920 Addendum Form</p>	<p>700U</p> <p>All Investigators who indicate a Financial Interest on the 700U must complete the COI Addendum Form</p>
Significant Financial Interests	<p>*Significant Financial Interests:</p> <ul style="list-style-type: none"> <li>▪ Income <math>\geq</math> \$10,000</li> <li>▪ Equity <math>\geq</math> \$10,000 or 5%</li> <li>▪ Venture or other capital financing</li> <li>▪ Position as Director, Officer, Employee, Partner, Trustee, Consultant or Management position (paid or unpaid)</li> <li>▪ Intellectual Property Rights</li> </ul> <p>Note: Significant Financial interests must be reported for the discloser and his/her spouse or registered domestic partner, and dependent children.</p>	<p>**Significant Financial Interests:</p> <ul style="list-style-type: none"> <li>▪ For a publicly traded entity, total value of compensation &gt; \$5,000 or equity interest &gt; \$5,000</li> <li>▪ For a non-publicly traded entity, total value of compensation &gt; \$5,000 or any equity interest, regardless of value</li> <li>▪ Income from intellectual Property rights &gt; \$5,000 (</li> <li>▪ Travel Reimbursements &gt; \$5,000 (per NIH, excludes travel funded by a US government agency, US university, academic medical center, or affiliated research institute)</li> </ul> <p>Note: Except for travel, Significant Financial Interests must be reported for the discloser and his/her spouse or registered domestic partner, and dependent children.</p>	<p>Financial Interests:</p> <ul style="list-style-type: none"> <li>▪ Income <math>\geq</math> \$500</li> <li>▪ Investments <math>\geq</math> \$2,000</li> <li>▪ Position as Director, Officer, Employee, Partner, Trustee, Consultant or Management position (paid or unpaid)</li> <li>▪ Loan balances <math>\geq</math> \$500</li> <li>▪ Gifts valued at <math>\geq</math> \$50</li> <li>▪ Travel Reimbursements</li> </ul>