

900 PI Packet

1. The Principal Investigator (PI) must submit (1) a PHS/DOE Investigator List (900 IL form) and (2) a PHS/DOE Disclosure Form (900 D form) for each Investigator on the PHS/DOE 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.
2. Submission of these forms is also required on an annual basis for non-competing continuation awards, when a new Investigator is added to a project, or within 30 days of an Investigator acquiring or discovering a new significant financial interest, and at least annually throughout the life of a grant or contract.
3. Investigators having a Significant Financial Interest that is reasonably related to the Investigators' Institutional Responsibilities must also complete the 910 and 920 Forms prior to release of award funds.
4. Disclosure and committee review of the disclosures must be complete prior to release of awards funds, or prior to submission of progress reports in subsequent years. Investigators must allow sufficient time for committee review of disclosures.

What financial interests need to be reported?

Under the PHS and DOE Rules, all Investigators must disclose Significant Financial Interests (SFI) when a financial interest:

- 1) reasonably appears to be related to or is in the same field of expertise as your **institutional responsibilities** – which include the teaching/education, research, outreach, clinical services, and University and public service you perform in the course and scope of your UCSC appointment, **AND**
- 2) meets any of the following reporting categories and thresholds:
 - Income received from a publicly traded entity during the 12 months prior to disclosure which, when combined with the value of any equity interest you hold in the entity, exceeds \$5,000.
 - Income received from a non-publicly traded entity during the 12 months prior to disclosure that exceeds \$5,000 OR any equity interest you hold in that entity.
 - Income received from an entity, other than UC, for intellectual property rights and interests during the 12 months prior to disclosure that exceeds \$5,000. This could include royalties for books, or license fees for software or technology you may have invented before you came to UCSC.
 - Travel paid for or reimbursed by a for-profit or non-profit entity, including professional organizations and foreign universities, that exceeds \$5,000 per entity per 12 month period.

Investigator is defined as any personnel on a PHS or DOE funded project who is responsible for the *design, conduct, or reporting of the research*.

A financial interest is defined as anything of monetary value, whether that value can be easily determined or not, that is held by you, your spouse or registered domestic partner, and dependent children.

You should keep in mind that SFIs do not include:

- Mutual funds or other investment vehicles such as retirement funds as long as you do not directly control the investment decisions.
- Payments made to you by UC for salary, stipends, royalties, honoraria, reimbursements of expenses or any other remuneration received from the University.
- Income for seminars, lectures, teaching engagements, or service on advisory committees or review panels sponsored by federal, state or local governments, a US institution of higher education, or a research institute, academic medical center or hospital that is affiliated with a US institution of higher education.
- Travel costs paid for or reimbursed by federal, state or local governments, a US institution of higher education, or a research institute, academic medical center or hospital that is affiliated with a US institution of higher education.
- Reimbursed travel that totals less than \$5,000 per entity per 12 month period

900 IL Form

PHS and DOE Regulations (42 C.F.R. Part 50, Subpart F) require Investigators to disclose any financial interests that they may have related to their Institutional Responsibilities. For definitions, see page 1 of this packet.

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 PHS-funded or DOE-funded study. All personnel named on this form must also complete a 900 D Form.

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

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 PHS-funded or DOE-funded study.

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 PHS-funded or DOE-funded study.

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 PHS-funded or DOE-funded study.

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 PHS-funded or DOE-funded study.

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 PHS-funded or DOE-funded study.

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 PHS-funded or DOE-funded study.

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 PHS-funded or DOE-funded study.

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 PHS-funded or DOE-funded study.

Phone Number

E-mail

Study approval will be delayed until all above-listed personnel on this PHS or DOE funded study submit a 900D Form to Office of Sponsored Projects (OSP), and the Conflict of Interest Committee (COIC) has reviewed any positive disclosures. The Principal Investigator is responsible for ensuring that he or she and all of the other above-listed personnel have submitted financial disclosures.

Signature of Principal Investigator

Date

UCSC 900D FORM

PLEASE COMPLETE, SIGN AND SUBMIT TO OSP

This submittal is for: New Proposal New Award Annual Review
Updated Disclosure

Investigator Making Disclosure

Investigator E-mail address

Phone Number

Principal Investigator Name (if different)

Proposal/Project Title

OSP ID #

Sponsor Award Number (if awarded)

All Investigators must answer the following question:

Do you, your spouse/domestic partner or dependent children have any Significant Financial Interests related to your Institutional Responsibilities?*

*See next page for definitions. Yes No

If you answered **YES**, a 910 addendum will need to be submitted to ORCA.

Required Training: The same people who are required to disclose their financial interests must also complete a training session prior to participating in research related to any PHS-funded or DOE-funded project. By reading and acknowledging understanding of the attached materials you will fulfill this obligation.

[LINK TO UCSC COIR TRAINING](#)

I certify that I have read and understood the UC Ethics and Compliance Briefing for Researchers training

University Investigators: By signing below, the Investigator (1) certifies that this form provides an accurate report of whether or not there are any Significant Financial Interests related to the Investigators' Institutional Responsibilities, and (2) acknowledges responsibility to provide a complete disclosure of all Significant Financial Interests reasonably related to the Investigators' Institutional Responsibilities prior to award receipt, as those interests change, and on an annual basis during the project award period.

Investigator Signature

Date