

**OFFICE OF CONTRACTS AND GRANTS
FORM 800 STATEMENT OF ECONOMIC INTEREST**

UC AGRICULTURE AND NATURAL RESOURCES

In accordance with the University of California Policy on Disclosure of Financial Interests, the Principal Investigator and all other UC ANR investigators (all persons who have responsibility for the design, conduct or reporting of research) must disclose their personal and family member's significant financial interests. This form is to be completed if your project involves Human Subjects or is federal flow thru with the exception of PHS agencies. If your project is funded by a PHS agency or an agency or organization that follows PHS disclosure requirements (see list here: <http://research.ucdavis.edu/wp-content/uploads/List-of-Covered-Entities-for-PHS-COI-Rule-08-14-2013.pdf>) then you must complete the **PHS COI Form- 1**.

Principal Investigator:	County/Program/REC:
PI Email:	Phone Number:
Project Title:	
Project Begin Date:	Project End Date:
Current Total Amount of Funding: \$ <input type="checkbox"/> Estimated <input type="checkbox"/> Actual	
Does this Project Involve Human Subjects: <input type="checkbox"/> Yes <input type="checkbox"/> No IRB Number (if applicable):	

Type of Proposal/Disclosure	Sponsor /Agency Information
<input type="checkbox"/> New Proposal <input type="checkbox"/> Continuation / Additional Funding: <i>Amount of Additional Funding:</i> <input type="checkbox"/> New Sponsor on Existing Project: <i>Previous Sponsor Name:</i> <input type="checkbox"/> Add Other Investigator to the Project <input type="checkbox"/> Change of Principal Investigator: <i>Previous PI Name:</i> <input type="checkbox"/> Change in Financial Interest of an Investigator <input type="checkbox"/> Previous Proposal / Award # (if applicable):	Sponsor Name: Please Check One: <input type="checkbox"/> Non-Public Health Service Federal Entity (e.g. NSF) <input type="checkbox"/> Subaward from above federal entities through another entity <i>Specify Federal Agency:</i> <input type="checkbox"/> Non-Governmental Sponsor, Project Involves Human Subjects <input type="checkbox"/> California Institute for Regenerative Medicine (CIRM) <input type="checkbox"/> Internally Funded (if the project is FDA regulated)

Principal Investigator - Disclosure and Certification

Do you, your spouse, registered domestic partner, or dependent children have any **“Significant Financial Interests”** (as defined in the instructions below) related to the work to be conducted under the proposed project that was received within the last twelve months or that you expect to receive in the next twelve months? [Note: A “Significant Financial Interest” includes an interest held in an outside business entity.]

- No Yes, please complete & submit: 1) Supplemental Form for each entity in which a financial interest exists; (2) a proposal abstract

I acknowledge and certify: (1) my responsibility to immediately disclose any new reportable financial interest obtained during the term of the project, and (2) all other investigators, who will have the responsibility for the design, conduct or reporting of research will submit the Form 800, and (3) this is a complete disclosure of my financial interests related to the proposed project/sponsor.

Signature of Principal Investigator: _____ Date: _____

Printed Name: _____

Other Investigator - Disclosure and Certification

Do you, your spouse, registered domestic partner, or dependent children have any **“Significant Financial Interests”** (as defined in the instructions below) related to the work to be conducted under the proposed project that was received within the last twelve months or that you expect to receive in the next twelve months? [Note: A “Significant Financial Interest” includes an interest held in an outside business entity.]

- No Yes, please complete & submit: 1) Supplemental Form for each entity in which a financial interest exists; (2) a proposal abstract

I acknowledge my responsibility to immediately disclose any new reportable financial interest obtained during the term of the project. I certify that this is a complete disclosure of my financial interests related to the proposed project/sponsor.

Signature: _____ Date: _____

Printed Name: _____ Email: _____

****Attach additional sheets as required to identify and include financial disclosure information for all project Investigators.****

OFFICE OF CONTRACTS AND GRANTS
FORM 800 STATEMENT OF ECONOMIC INTEREST (Continued)

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Principal Investigator:	County/Program/REC:
PI Email:	Phone Number:
Project Title:	
Sponsor Name:	

Other Investigator - Disclosure and Certification

Do you, your spouse, registered domestic partner, or dependent children have any **"Significant Financial Interests"** (as defined in the instructions below) related to the work to be conducted under the proposed project that was received within the last twelve months or that you expect to receive in the next twelve months? [Note: A "Significant Financial Interest" includes an interest held in an outside business entity.]

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I acknowledge my responsibility to immediately disclose any new reportable financial interest obtained during the term of the project. I certify that this is a complete disclosure of my financial interests related to the proposed project/sponsor.

Signature: _____ Date: _____

Printed Name: _____ Email: _____

Other Investigator - Disclosure and Certification

Do you, your spouse, registered domestic partner, or dependent children have any **"Significant Financial Interests"** (as defined in the instructions below) related to the work to be conducted under the proposed project that was received within the last twelve months or that you expect to receive in the next twelve months? [Note: A "Significant Financial Interest" includes an interest held in an outside business entity.]

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Signature: _____ Date: _____

Printed Name: _____ Email: _____

Other Investigator - Disclosure and Certification

Do you, your spouse, registered domestic partner, or dependent children have any **"Significant Financial Interests"** (as defined in the instructions below) related to the work to be conducted under the proposed project that was received within the last twelve months or that you expect to receive in the next twelve months? [Note: A "Significant Financial Interest" includes an interest held in an outside business entity.]

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Signature: _____ Date: _____

Printed Name: _____ Email: _____

****Attach additional sheets as required to identify and include financial disclosure information for all project investigators.****

OFFICE OF CONTRACTS AND GRANTS
FORM 800 STATEMENT OF ECONOMIC INTEREST (Continued)

Definitions:

Principal Investigator - the investigator primarily responsible for the design, conduct or reporting of sponsored research or educational activities conducted in whole or in part at the University.

Investigator - Any person, other than the principal investigator, who is responsible for the design, conduct, or reporting of the funded research project or educational activities conducted in whole or in part at the University (Form 800) at the time of proposal submission.

Significant financial interest—anything of significant monetary value, including but not limited to salary or other payments for services; equity interests (e.g., stocks, stock options or other ownership interests); intellectual property rights (e.g., patents, copyrights and royalties from such rights); or holding a position as an officer, director, agent, or employee of a business entity. “Significant financial interest” includes such interests held by a Principal Investigator or other Investigators and by their spouses, domestic partners and/or dependent children.

For non-PHS funded Investigators, significant financial interest does **NOT** include:

1. Salary, royalties, or other remuneration from the University.
2. Income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities.
3. Income from service on advisory committees or review panels for public or nonprofit entities.
4. An equity interest in a public company that represents less than a 5% ownership interest and less than \$10,000 in value as determined through reference to public prices.
5. Annual salary, royalties or other payments from any source other than those referenced in subparagraphs (1) and (2) above that individually or when aggregated do not exceed \$10,000 over the next twelve months.
6. Income from mutual funds and/or pension funds;
7. A percentage of income received from the Veteran’s Administration Medical Center as part of physician reimbursement for University faculty;
8. Interest in a business entity if the business entity is an applicant for Phase I support under the Small Business Innovation Research (SBIR) Program.

1. If a Positive Disclosure is identified, the Office of Contracts and Grants (OCG) staff will contact Investigators who have disclosed any Significant Financial Interests (SFI) to request the submission of the Supplemental Form. The Conflict of Interest (COI) Designated Official will review the Supplemental form to determine whether or not the disclosed SFI is related to the research project and may be moved forward for Conflict of Interest Committee review.
2. The Conflict of Interest Committee will consider whether the Investigator’s SFI could directly and significantly affect the design, conduct, or reporting of the applicable funded research project. Please allow sufficient time for Committee review.
3. All Principal Investigators and other Investigators involved in projects sponsored by the federal government must file an updated Form 800 and Supplemental Form (Statement of Economic Interests Related to Government Sponsored Programs and Other Projects Involving Human Subjects research) when they (or their spouses/domestic partners or dependent children) acquire a new financial interest related to a project, while the project is receiving financial support from federal government.

Records

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 for 3 years after termination of sponsored project or until resolution of any action by the sponsor, whichever is greater. The Office of Record is the Office of Contracts and Grants.