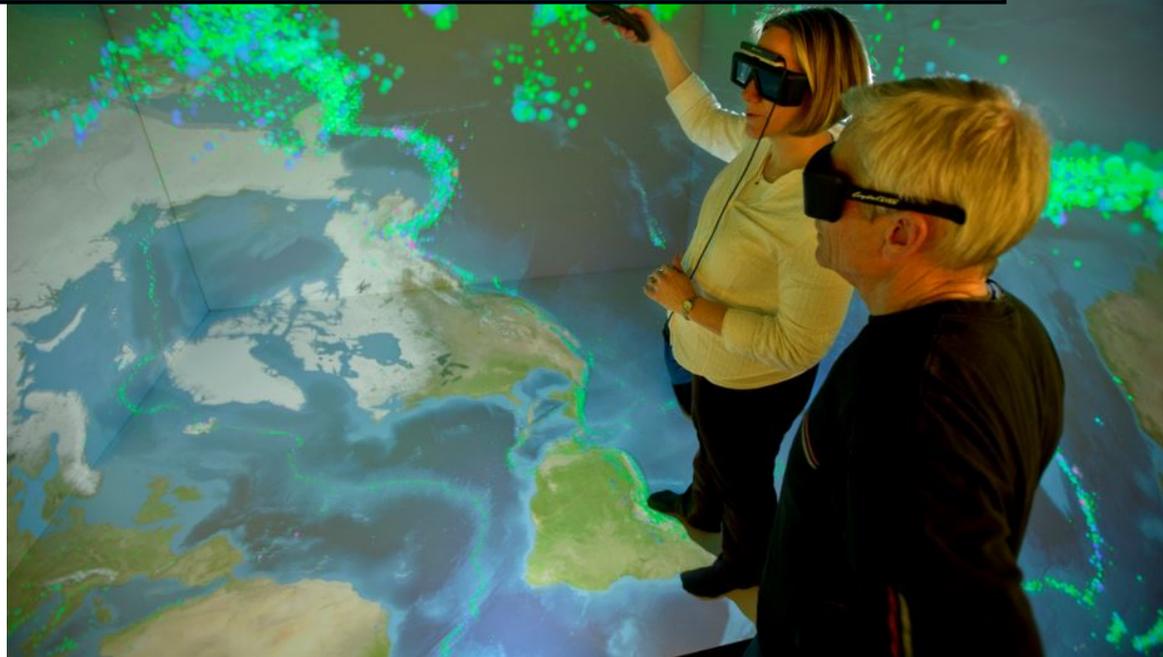


2017

UC Davis Investigator Online Disclosure Guide



Research Compliance and Integrity

Office of Research

5/30/2017

Contents

I.	Introduction	3
II.	Privately Funded Research (700-U)	4
	Step 1: Add Your Administrative Contact and Project Information to the System	4
	A. Log On to the System	4
	B. Add Administrative Contact Information.....	4
	C. Add Project Information	5
	D. Select Project Type.....	6
	E. Enter Project Name.....	7
	F. Add New Investigators to the Project.....	8
	G. Add Existing Investigators to the Project.....	9
	Step 2: Determine Which Additional Forms Are Needed	10
	Step 3: Create a New Online 700-U Form.....	10
	A. Log On to the System	10
	B. Create a New 700-U Disclosure	11
	C. Add Funding Details to the 700-U Disclosure	12
	D. Human Subjects Research.....	14
	E. Add Your Information	14
	Step 4: Edit a Saved Online 700-U Form	16
	Step 5: View a Previously Submitted Online 700-U Form.....	16
	Step 6: Complete Additional Disclosures.....	17
	A. Human Subjects Research.....	17
	B. Positive Disclosures.....	17
	C. Negative Disclosures.....	18
	Step 7: Submitting a Form 700-U for Renewed or Interim Funding.....	18
	A. Locate and Clone an Existing Disclosure	18
	B. Review and Submit the Cloned Disclosure	18
III.	Research Funded by Non-PHS Government Sponsors (Form 800).....	18
	Step 1: Create a New Online Form 800.....	19
	A. Add Project Details.....	20
	B. Add Sponsor and Funding Information.....	21
	C. Human Subjects Research.....	22

D.	Add Related Significant Financial Interests.....	22
Step 2:	Edit a Saved Online Form 800.....	23
Step 3:	View a Previously Submitted Online Form 800	23
Step 4:	Complete Additional Disclosures.....	24
A.	Positive Disclosures.....	24
B.	Notifying Investigators and Tracking Form 800 Filing Status.....	24
C.	Negative Disclosures	25
IV.	The Online Supplemental Form	25
Step 1:	Access Your Online Supplemental Form.....	25
A.	Positive 700-U Disclosure (For Privately Funded Research)	25
B.	Positive Form 800 Disclosure (For Research Funded by Non-PHS Governmental Sponsors).....	26
Step 2:	Edit Your Online Supplemental Form	27
A.	Add Your Significant Financial Interest	27
B.	Describe the Nature of Your Significant Financial Interest.....	31
Step 3:	Return to a Saved Online Supplemental Form	33
Step 4:	View Previously Submitted Online Supplemental Form.....	34
V.	Tracking and Utilizing Your Completed Online Disclosure Forms.....	34
Step 1:	Track Your Completed Disclosures in the System.....	34
Step 2:	Provide Your Disclosures to Other Administrative Units.....	35

I. Introduction

State and Federal conflict of interest laws, as well as university policy, requires investigators to complete financial interest disclosures when a sponsored program is proposed. The sponsor of your research dictates the type of disclosure (if any) that you must complete, with additional information required if the research involves human subjects.

The financial interest disclosure process at UC Davis has historically required a number of paper forms that were moved from one administrative unit to another. Fortunately for the entire research community, we have transitioned the disclosure process to a fully online system which no longer requires paper submission with original signatures. This new filing system simplifies the disclosure process for investigators with an intuitive system that prompts investigators for additional forms and information only when they are required. Further, this new electronic system reduces administrative burden by making disclosures simultaneously available to all administrative units, rather than making staff members “wait for paperwork.” We are confident this new online system will make the financial interest disclosure process much less burdensome for researchers and more efficient for administrative staff.

The Purpose of this guide is to explain how the new system works and how financial information should be disclosed and submitted to the Research Compliance and Integrity Unit for processing. It provides basic and simple step by step instructions on how this new system works with the hope that it will be useful not just to our current researchers and their staff but all the future members of our research community. If you have any questions regarding filing financial disclosures at UC Davis, our online disclosure system, or this guide, please contact Research Compliance and Integrity.

Research Compliance and Integrity

Office of Research

<http://research.ucdavis.edu/policiescompliance/coi/>

1850 Research Park Drive, Suite 300

Davis, CA 95618

(530) 754-0642

or_coi@ad3.ucdavis.edu

II. Privately Funded Research (700-U)

The State of California Fair Political Practices Commission (FPPC) requires Principal Investigators to complete and submit a 700-U Form if a non-governmental entity “funds or supports” the research, in whole or in part, by a contract, grant, or other funds earmarked by the donor for a specific project or for a specific researcher. The 700-U form is also required for a Material Transfer Agreement related to the transfer of tangible research materials from a non-governmental entity to UC Davis, specifically if the purpose of the material is to conduct scientific research and UC Davis does not pay for the material.

Until now, the FPPC required PIs to submit the paper form with original signatures. Recently, however, UC Davis received approval from the FPPC to dispense with the paper process and deploy our electronic filing system for 700-U forms.

Completion of the 700-U is not required if the State of California has placed your sponsor on the [exempt list](#). If a Form 700-U is required, the following are the steps that should be followed to file your 700-U electronically.

Step 1: Add Your Administrative Contact and Project Information to the System

A. Log On to the System

Log on to <https://or-forms.ucdavis.edu/> using the Chrome or Firefox web browser (Internet Explorer is not supported). You will be taken to the Researcher Portal website.

B. Add Administrative Contact Information

Before you can submit a disclosure for your privately funded research, you must first add the administrative contact and project information. To do so, mouse over the “Project Information” link at the top of the page and select “Non-PHS Projects” ([Figure 1](#)).



Figure 1

In the appropriate boxes, provide the name and the phone number of an administrative contact ([Figure 2](#)). This administrative contact could be an executive or administrative assistant, a financial analyst or grants analyst. **Appointing an administrative contact will allow this individual to search for and view your disclosures.** If you do not wish to add this information, it

may be left blank. [NOTE: We strongly recommend that you add such contact information so that RCI knows who to contact if additional information is needed by RCI or our Conflict of Interest Committee. Adding this information will help reduce any delay in the processing of the disclosure.] To add an administrative contact, start typing the last name of the individual you wish to add. You can then select their name and email address from the list that pops up. You can add their contact number by clicking on the blue numbers and entering their phone number in the boxes that appear.

HOME / FORM SELECTION / PROJECT INFORMATION

Project Information Steps

- 1 Add or update your contact number and administrator
- 2 Add any projects or gifts for which you need to submit a disclosure
- 3 Select the project and add investigators
- 4 Finalize setup (creates a draft form 800 if needed and emails instructions to investigators)

The following steps are required if filing a Form 800 for a project

Contact Number: 000-000-0000

Administrative Contact: Add Administrative Contact Test|jesse

Your Projects
You have no projects identified.

Jesse Test thetest@ucdavis.edu
IET TestUser iettestuser@ucdavis.edu

Form 700-U: Statement of Economic Interests for Principal Investigators | Form 800: Statement of Economic Interests Supplement: Supplement to State

Figure 2

C. Add Project Information

To begin, click the blue button labelled “Add project.” A popup window will appear, allowing you to enter your project information ([Figure 3](#)).

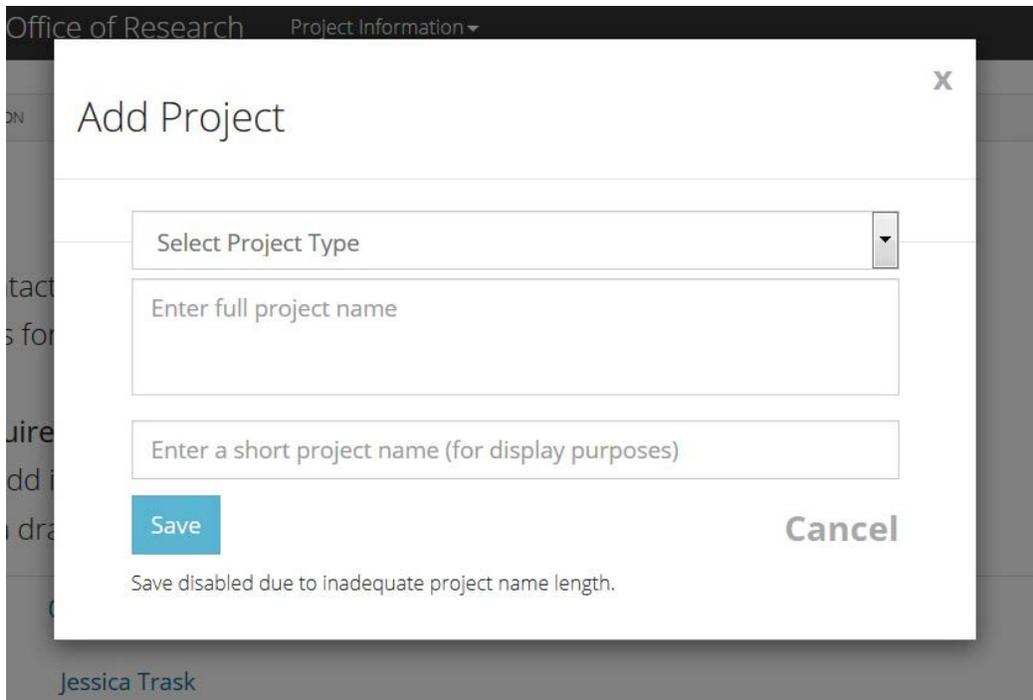


Figure 3

D. Select Project Type

Click on the arrow in the box labelled “Select Project Type.” ([Figure 4](#)) You will be given two options: If the funding involved is a gift, select “Gift From Sponsor.” [To determine if the funding constitutes a “gift,” click [here](#).] If the funding is not a gift and comes from a private sponsor, click “Non-PHS Project.” [To confirm that your project is not sponsored by a private entity that has adopted the PHS rules, please check [the list](#) of organizations that require compliance with PHS regulations.]

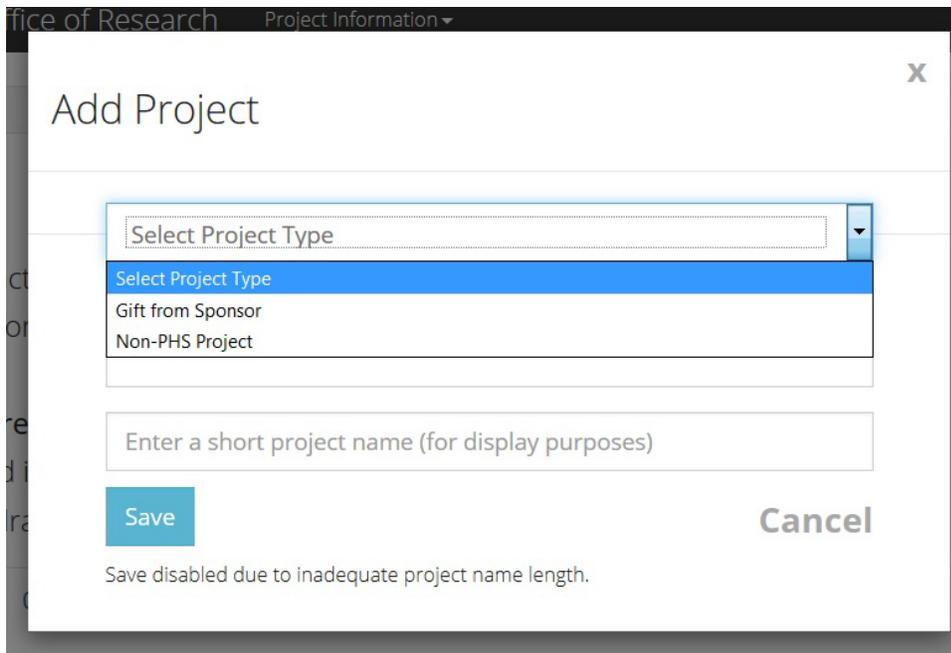


Figure 4

E. Enter Project Name

Click on the box labelled “Enter full project name” and type in the full name of the project ([Figure 5](#)). In the box labelled “Enter a short project name (for display purposes)”, re-type the name of the study (if it is shorter than 120 characters). You may also enter a study acronym, or identification number in this field. This field is required – you will not be allowed to save your project if this field is empty. Once you have entered the necessary information, click the blue “Save” button.

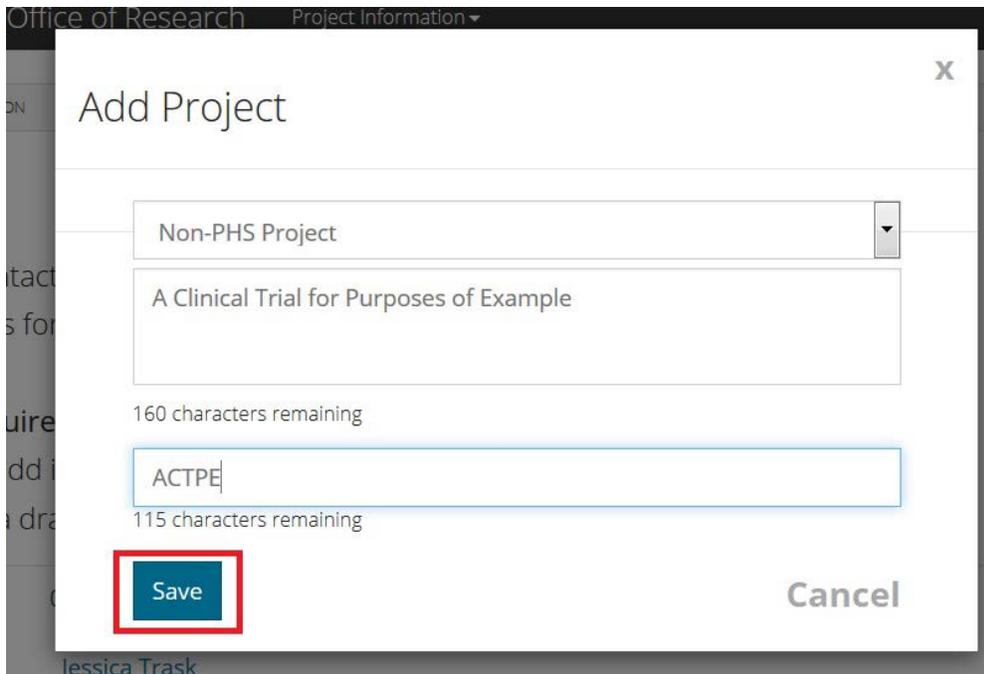


Figure 5

You should now see the short project name of your project listed under “Your Projects.” ([Figure 6](#)) If you wish to remove a project, you can click on the black X to the right of the short project name.



Figure 6

F. Add New Investigators to the Project

The next step is to add Investigators to the project. Click the radio button next to the short name of the project. In the text box next to “Add Investigators”, (shown below) begin typing the last name of the investigator and select that individual from the list that pops up ([Figure 7](#)). That person’s name will be added to a list underneath the display name of the project. Please add the names of **ALL** investigators (**all persons who have responsibility for the design, conduct, or reporting of research, regardless of title**) by typing each into the text box. To remove someone from the list, you can click on the black X to the right of their name.

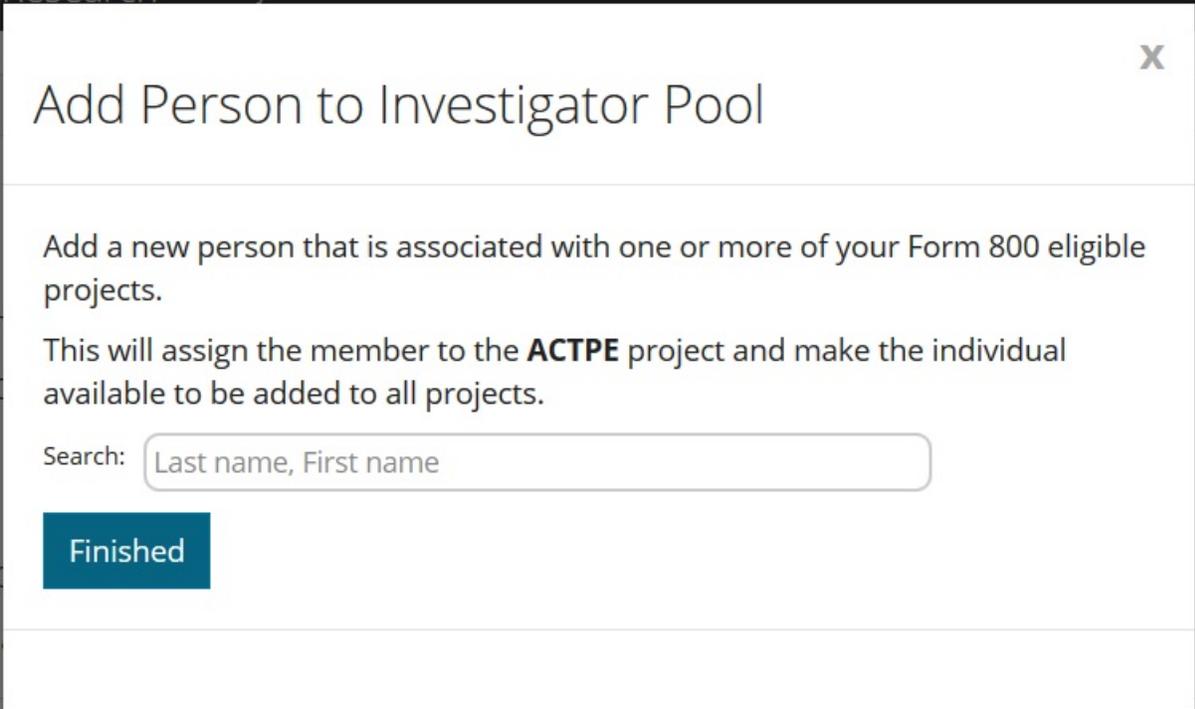


Figure 7

G. Add Existing Investigators to the Project

Once you have searched for and added investigators to a project, their name will automatically appear as on your list of potential investigators (Figure 8). To add individuals to the project, click the checkbox next to their name. To remove individuals from the project, uncheck the box.

ACTPE

Add Investigator
Notify Investigators

Project Member (Y/N)	Name	Form 800 Filing Status
<input checked="" type="checkbox"/>	Chambers, Mieko	Incomplete
<input type="checkbox"/>	Trask, Jeffrey	N/A
<input checked="" type="checkbox"/>	Trask, Jessica	Complete
<input checked="" type="checkbox"/>	Tripp, Linda	Complete

Figure 8

For investigators involved in human subjects research, you can also use this view to notify your co-investigators of their Form 800 disclosure requirements and track completion. For more information, see [Notifying Investigators and Tracking Form 800 Filing Status](#).

You have now entered all of the necessary project information. The next step is to complete the necessary disclosures.

Step 2: Determine Which Additional Forms Are Needed

If your privately funded research involves human subjects, Form 800 must also be completed. Click [here](#) for help in determining whether your activity meets the definition of research involving human subjects. PLEASE NOTE: If, as a Principal Investigator, you answer any of the questions on the Form 700-U affirmatively, you must also complete and submit the Supplemental Form. (Please refer to The [Online Supplemental Form](#).)

Step 3: Create a New Online 700-U Form

As noted above, the Principal Investigator is required by both the California Fair Political Practices Commission (FPPC) and UCD Policy ([PPM 230-05](#)) to complete Form 700-U if a non-governmental entity funds or supports the research, in whole or in part, by a contract, grant or other funds earmarked by the donor for a specific project or for a specific researcher. The 700-U form is also required for a Material Transfer Agreement related to the transfer of tangible research materials from a non-governmental entity to UC Davis, specifically if the purpose of the material is to conduct scientific research and UC Davis does not pay for the material.

A. Log On to the System

Log on to <https://or-forms.ucdavis.edu/> using your preferred web browser. You will be taken to the Researcher Portal website.

To begin your 700-U disclosure, click on the box labelled “Form 700-U.” ([Figure 9](#)) **Please note that this form is only required for designated Principal Investigators.** This link will send you to a list of your previous Form 700-U submissions, if any. If you started to complete a form during a previous session but did not complete it, it will be visible in this area as well.

 **Form 700-U**

Statement of Economic Interests for Principal Investigators (Private Sponsors)

Form 700-U is required for each project funded or supported in whole or in part by a non-governmental entity. A new form is required to be filed within 30 days of receipt of new funds.

Figure 9

B. Create a New 700-U Disclosure

To start a new disclosure, click on the blue “Create New” link. ([Figure 10](#))

HOME / FORM SELECTION

Form 700-U Form 800 Supplement PHS

Form 700-U Submissions **Create New**

Confirmation Signature Date Submitted Funding Amount

You have no Form 700-U's submitted. Note: this form is only required for projects funded or supported in whole or in part by a non-governmental entity.

Form 700-U: Statement of Economic Interests for Principal Investigators |
of Economic Interest | **PHS:** Public Health Service Disclosure
Copyright © The Regents of the University of California, Davis campus. All rights reserved.

Figure 10

If, at any point, you would like to save your disclosure and finish it at another time, click the “Save Draft” button at the bottom of the page ([Figure 11](#)) and refer to [Step 4: Edit a Saved Online 700-U Form](#). The system will automatically enter your name, email address, and department.

Verification I have used all reasonable diligence in preparing this statement. I have reviewed this statement a contained herein and in any attached schedules is true and complete. I certify under penalty of p the foregoing is true and correct.

Signature

Cancel Save Draft

Figure 11

C. Add Funding Details to the 700-U Disclosure

In the section labelled “1 & 2. Funding Details”, select your project from the pull-down menu (Figure 12). You **must** add your project to the system before you can complete a disclosure. If your project isn’t available from the pull-down menu because if you haven’t entered your project information yet, click on “Can’t find your project?” (Figure 13) and a pop-up window will appear. You can then add your project by following the instructions in [Step 1: Add Your Administrative Contact and Project Information to the System.](#)

1 & 2. Funding Details: Before proceeding Click here to confirm that your sponsor 700-U.

Research Project Select

Type of Statement Initial (for new funding) Interim (for renewed funding)

Funding Date Date of initial or renewe

Funding Entity Search search sponsor name

Figure 12

1 & 2. Funding Details: Before proceeding [Click here](#) to confirm that your sponsor 700-U.

Research Project: Select
[Can't find your project?](#)

Type of Statement: Initial (for new funding)
 Interim (for renewed funding)

Funding Date: Date of initial or renewe

Funding Entity Search: search sponsor name

Figure 13

Indicate whether this disclosure is for new funding (reporting the 12 months prior to that the award is made) or for renewed funding (covering the period between the date the initial statement was filed and the date the project contract, grant, or gift was renewed). NOTE: it is not necessary to file an amended 700-U for a Significant Financial Interest (SFI) arising after an initial disclosure – this SFI will be included on the interim disclosure, if necessary.

Enter the date that the funding was initiated or renewed, either using the calendar tool or by typing the dates in MM/DD/YYYY format. If you do not know the date of funding, you may provide an estimate.

Enter the name of the entity funding the research. Begin typing the name of the entity in the box labelled “Funding Entity Search” and select the appropriate entity from the list that appears. (Figure 14) If your sponsor does not appear, please [ensure](#) that your sponsor is not exempt from the Form 700-U requirement. If your sponsor is exempt, you do not need to file a 700-U disclosure, although your research may be subject to other disclosure requirements.

Funding Entity Search: California Cott

Funding Entity: CALIFORNIA COTTON GROWERS ASSOCIATION V91X

Funding Amount: CALIFORNIA OCEAN PROTECTION COUNCIL AEPF

Is this amount an estimate? No

Figure 14

In the box labelled “Funding Amount”, enter the amount of funding for the project and indicate whether or not this amount is an estimate.

D. Human Subjects Research

Indicate whether or not the research involves human subjects. Click [here](#) for help in determining whether your activity meets the definition of research involving human subjects. If you answer this question affirmatively, you will also need to complete Form 800. For instructions on how to complete the Online Form 800, follow the instructions in [Step 1: Create a New Online Form 800](#). You will also want to notify your project staff of their Form 800 requirement by following the instructions in [Notifying Investigators and Tracking Form 800 Filing Status](#).

E. Add Your Information

Section 3A:

Please provide information regarding your association with the Funding Entity. Please include all associations and positions of management even if they are unpaid.

Section 3B:

Please provide information regarding your related investments. **“Investment”** means any financial interest in a business entity in which you, or spouse or registered domestic partner, or your dependent children have a direct, indirect, or beneficial interest totaling \$2,000 or more. Reportable investments include stocks, bonds, warrants, and options, including those held in margin or brokerage accounts (See Gov. Code Section 82034 and Regulation 18237). If you answered this question affirmatively, please also include the approximate market value at the time of disclosure and the date the investment was disposed (if applicable).

Section 3C:

Please provide information regarding any related income exceeding \$500. **“Income”** means a payment received, including but not limited to any salary, wage, advance, dividend, interest, rent, proceeds from any sale, gift, including any gift of food or beverage, loan forgiveness or payment in indebtedness received by the filer, reimbursement for expenses, per diem, or contribution to an insurance or pension program paid by any person other than an employer, and any community property interest in income of a spouse or registered domestic partner. Income also includes an outstanding loan. Income of an individual also includes a pro rata share of any income of any business entity or trust in which the individual, spouse, or registered domestic partner owns directly, indirectly, or beneficially, a 10% interest or greater. Income includes your gross income and your community property interest in your spouse’s or registered domestic partner’s gross income totaling \$500 or more. Gross income is the total amount of income before deducting expenses, losses, or taxes. (See Gov. Code Section 82030.) If you answered this question affirmatively, please also include the amount of income and indicate whether or not the income was received through a spouse or registered domestic partner.

Section 3D:

Please provide information regarding any related loans. **“Loans”** are reportable if they total \$500 or more from a single lender. Your community property interest in loans received by your spouse or registered domestic partner also must be reported. Loans from commercial lending institutions made in the lender’s regular course of business on terms available to members of the public without regard to your official status are **not** reportable. (See Gov. Code Section 82030(a).) If you answered this question affirmatively, please also include the highest balance of the loan, the type of loan (secured or unsecured), the interest rate, and whether or not the loan was entirely repaid within the last 12 months.

Section 3E:

Please provide information on any related gifts. A **“gift”** is anything of value for which you have not provided equal or greater consideration to the donor. A gift is reportable if its fair market value is \$50 or more. In addition, multiple gifts totaling \$50 or more received from a reportable source must be reported. If the exact amount of the gift is not known, you must make a good faith estimate of the item’s fair market value. If you answered this question affirmatively, please also describe the gift and provide the value of the gift and the date that it was received.

Section 3F:

Please provide information on any related paid travel. **“Travel”** payments include advances and reimbursements for travel and related expenses, including lodging and meals. Travel payments are **gifts** if you did not provide services that were equal or greater in value than payments received. Gifts of travel may be subject to a \$460 gift limit. Travel payments are **income** if you provided services which were equal or greater in value than the payments received. You must disclose income totaling \$500 or more from a single source during the period covered by the statement. Please note that you are **not required** to disclose:

- Travel payments received from any state, local, or federal government agency for which you provided services equal or greater in value than the payments received.
- Travel payments received from your employer in the normal course of your employment.
- A travel payment that was received from a non-profit entity exempt from taxation under Internal Revenue Service Code Section 501(c)(3) for which you provided equal or greater consideration.

Once the information is complete and accurate, type your first and last name in the box labelled “Signature.” This will cause the “Finalize” button to appear. (Figure 15) If your information is complete and accurate, and you are ready to submit to RCI, click the “Finalize” to submit your disclosure.

You cannot make any changes to your disclosure once you have clicked this button!

Verification I have used all reasonable diligence in preparing this statement. I have reviewed this statement contained herein and in any attached schedules is true and complete. I certify under penalty of law that the foregoing is true and correct.

Signature

Figure 15

Step 4: Edit a Saved Online 700-U Form

If you saved an incomplete form or a form that has not yet been finalized, a number will appear on the 700-U tab and the status of the form will be “Draft.” Click on the blue confirmation number to continue editing the form. (Figure 16)

HOME / FORM SELECTION

1

Form 700-U Submissions [Create New](#)

Confirmation	Signature	Date Submitted	Funding Amount	Project
8XM4YIHNQO4U			25,000.00	ACTPE

Figure 16

Step 5: View a Previously Submitted Online 700-U Form

Once a Form 700-U has been finalized, the status of the form will no longer be listed as “Draft” and it can no longer be edited. To view the completed online form, click on the blue confirmation number. (Figure 17)

Form 700-U	Form 800	Supplement 1	PHS
------------	----------	---------------------	-----

Form 700-U Submissions [Create New](#)

Confirmation	Signature	Date Submitted	Funding Amount
8XM4YIHNQO4U	Jessica Trask	2017-01-26	25,000.00

Figure 17

If you would like to view your completed Form 700-U in the FPPC format, click on the green PDF button. ([Figure 18](#)) This link will allow you to view and save your disclosure as a PDF document.

Status	Supplemental Form	PDF	Clone
Under Review	Incomplete	PDF	N / A

Figure 18

Step 6: Complete Additional Disclosures

A. Human Subjects Research

As noted above, if your privately funded research involves human subjects, UC Davis [policy](#) requires you to complete and submit the Online Form 800. Please note that this form must be completed by the Principal Investigator **and all other investigators on the project**. You will want to notify your project staff of their Form 800 requirement by following the instructions in [Notifying Investigators and Tracking Form 800 Filing Status](#). Any investigator on the project who has a significant financial interest (SFI) must then also complete and submit a Supplemental Form. For instructions on how to complete the Online Form 800, follow the instructions in [Step 1: Create a New Online Form 800](#).

B. Positive Disclosures

If you answered affirmatively (“Positive Disclosure”) to any of the questions on the Online Form 700-U, you must complete the Supplemental Form. Positive Disclosures cannot be reviewed without a complete Online Supplemental Form; failure to submit may result in a delay of funding. For instructions on how to complete the Online Supplemental Form, follow the instructions in [The Online Supplemental Form](#).

C. Negative Disclosures

If you do not need to complete any additional disclosures, you may skip to [Tracking and Utilizing Your Completed Online Disclosure Forms](#).

Step 7: Submitting a Form 700-U for Renewed or Interim Funding

If you have already submitted a Form 700-U at the time of initial funding, you are required by California law to re-submit this form if the project receives additional funds from the same sponsor. You can use the clone function to copy the data from a prior disclosure into a new form. [Note: by using the clone function, you will not be able to change the project or the funding entity. The clone function should only be used for renewed or interim funding to **existing projects**.]

A. Locate and Clone an Existing Disclosure

Once a Form 700-U has been submitted to and approved by RCI, the Clone button will appear in the project list ([Figure 19](#)). Please note that if your disclosure has not been approved, you will not be able to clone it. To copy the information from the existing disclosure into a new disclosure, click the clone button.

Form 700-U Submissions [Create New](#)

Confirmation	Signature	Date Submitted	Fu	Status	Supplemental Form	PDF	Clone
8XM4YIHNQO4U	Jessica Trask	2017-01-26		Approved	Completed		

Figure 19

B. Review and Submit the Cloned Disclosure

Review the information in the cloned disclosure. If the nature of the research has changed (for example, the study now includes human subjects research) or if you now have a Significant Financial Interest, you may need to submit additional disclosures. To complete and submit these disclosures, please follow the instructions in [Step 6: Complete Additional Disclosures](#).

III. Research Funded by Non-PHS Government Sponsors (Form 800)

If your research is funded by one of the government or public entities listed below, UC Davis [policy](#) requires all investigators to complete and submit the Online Form 800.

- National Science Foundation (NSF)
- California Institute for Regenerative Medicine (CIRM)
- UC Discovery Grants
- UCOP Special Programs

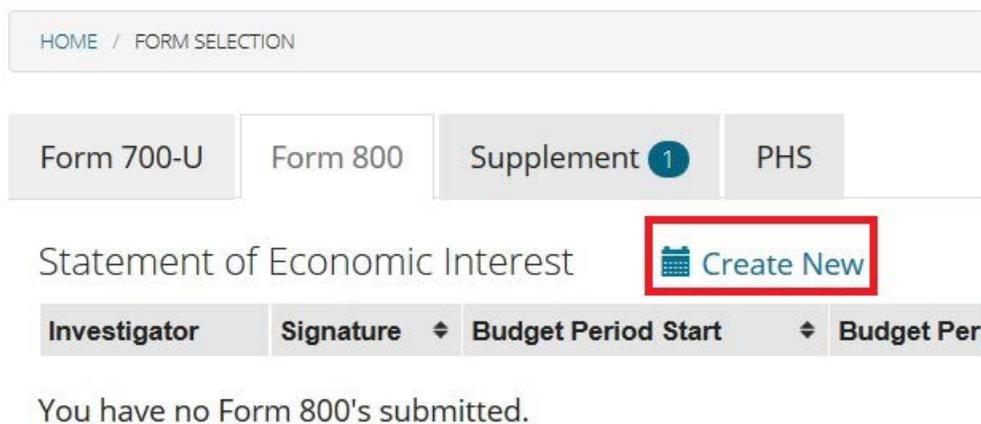
Step 1: Create a New Online Form 800

To begin your Form 800 disclosure, click on the box labelled “Form 800.” (Figure 20) **Please note that this form must be completed by all investigators funded by Non-PHS Government entities, as well as any individual participating in the design, conduct, or analysis of Human Subjects research.** This link will take you to a list of your previous Form 800 submissions. If you started to complete a form during a previous session but did not complete it, it will be visible in this area.



Figure 20

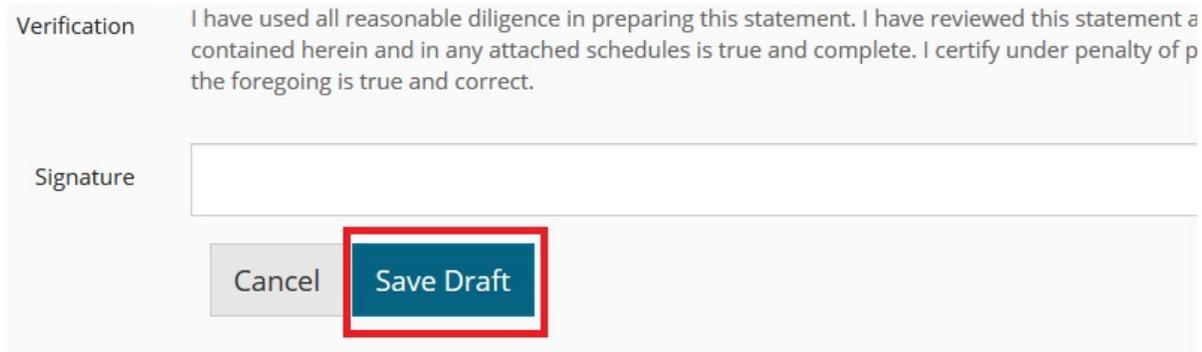
To start a new disclosure, click on the blue “Create New” link. (Figure 21)



Form 700-U: Statement of Economic Interests for Principal Investigators |
of Economic Interest | **PHS:** Public Health Service Disclosure
Copyright © The Regents of the University of California, Davis campus. All r

Figure 21

If, at any point, you would like to save your disclosure and finish it at another time, click the “Save Draft” button at the bottom of the page ([Figure 22](#)) and refer to [Step 2: Edit a Saved Online Form 800](#).



Verification I have used all reasonable diligence in preparing this statement. I have reviewed this statement a contained herein and in any attached schedules is true and complete. I certify under penalty of p the foregoing is true and correct.

Signature

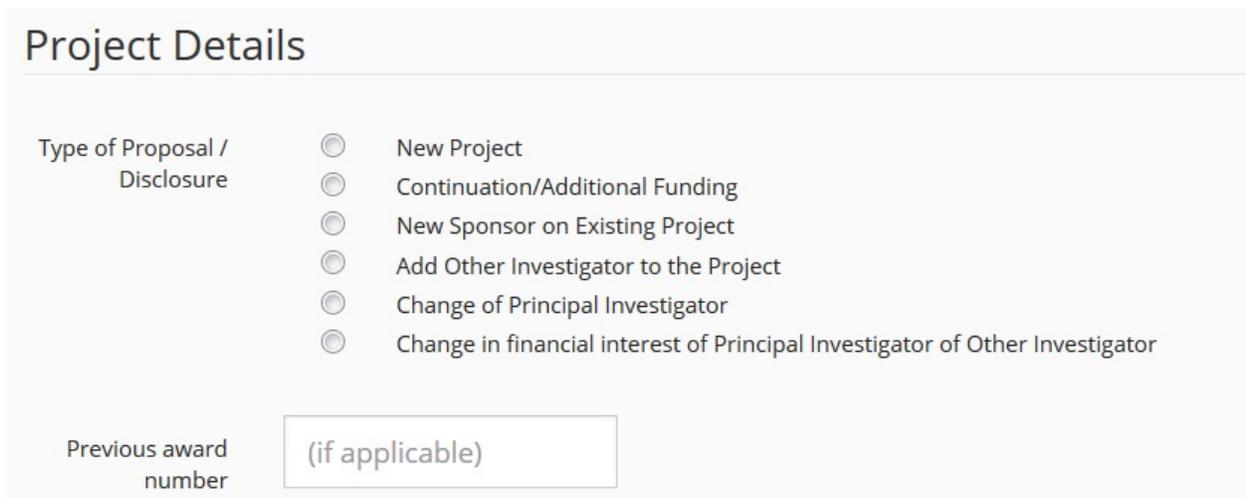
Cancel Save Draft

Figure 22

A. Add Project Details

The system will automatically enter your name, email address, and department. In the section “Project Details” ([Figure 23](#)), select the type of disclosure that best describes your project.

If you have one, enter the Sponsored Programs Office project number (usually a nine-digit number) in the box labelled “Previous award number.”



Project Details

Type of Proposal / Disclosure

- New Project
- Continuation/Additional Funding
- New Sponsor on Existing Project
- Add Other Investigator to the Project
- Change of Principal Investigator
- Change in financial interest of Principal Investigator of Other Investigator

Previous award number

Figure 23

In the section labelled “Research Project”, select your project from the pull-down menu. ([Figure 24](#)) If your project isn’t available from the pull-down menu, or if you haven’t entered your project information yet, add your project by following the instructions in [Step 1: Add Your Administrative Contact and Project Information to the System](#). You must add your project to the system in order to complete and submit a disclosure.

Previous award number: (if applicable)

Research Project: Select [dropdown menu]

Funding Entity Search: search sponsor name

Figure 24

B. Add Sponsor and Funding Information

Enter the name of the entity funding the research. Begin typing the name of the entity in the box labelled “Funding Entity Search” and select the appropriate entity from the list that appears. (Figure 25)

Funding Entity Search: California Cotton Gro

Funding Entity: CALIFORNIA COTTON ALLIANCE F74F

Type of Funding Entity: CALIFORNIA COTTON GROWERS ASSOCIATION V91X

Budget Period From: [empty]

Figure 25

Select the type of funding entity from the drop-down menu. (Figure 26) If your sponsor does not meet any of the criteria shown in Figure 26, your project does not require a Form 800.

Type of Funding Entity: Select [dropdown menu]

Budget Period From: [empty]

Budget Period To: [empty]

Dropdown options:

- Select
- Non-Public Health Service Federal entity (e.g. NSF)
- Subaward from above federal entities from/through another entity
- Non-governmental Sponsor, Project involves Human Subjects**
- California Institute of Regenerative Medicine (CIRM)
- Department Funded (if the project is FDA regulated)

Figure 26

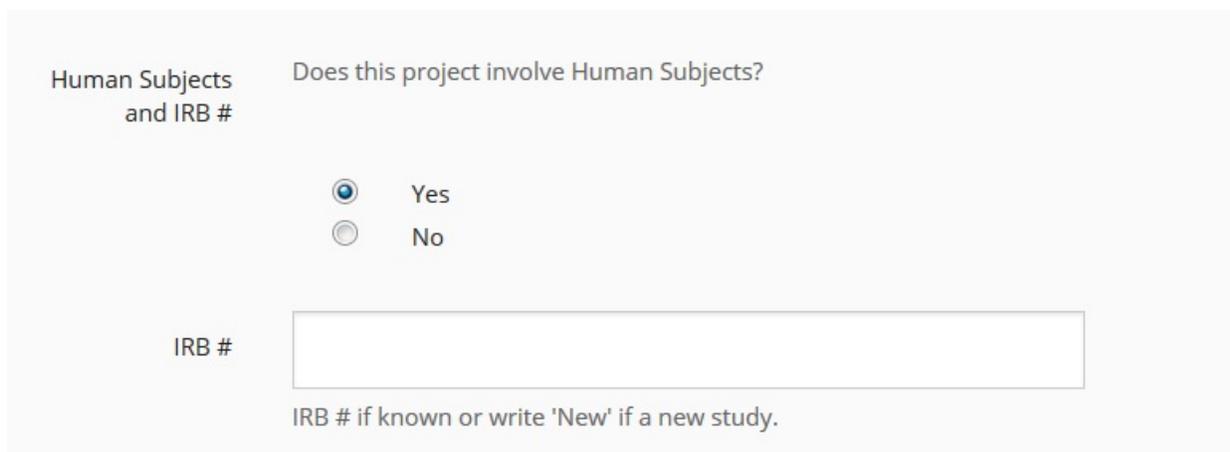
Enter the dates of funding and the dates on which the project begins and ends, either by using the calendar tool or by typing the dates in MM/DD/YYYY format.

In the box labelled “Funding Amount”, enter the amount of funding for the project and indicate whether or not this amount is an estimate.

C. Human Subjects Research

Indicate whether or not the research involves Human Subjects. Click [here](#) for help in determining whether your activity meets the definition of research involving Human Subjects. If you answer this question affirmatively, you will be prompted to enter the IRB number (usually a six- or seven-digit number). If you do not yet have an IRB number, type “New” in this box.

([Figure 27](#))



Human Subjects and IRB #

Does this project involve Human Subjects?

Yes

No

IRB #

IRB # if known or write 'New' if a new study.

Figure 27

D. Add Related Significant Financial Interests

The Form 800 requires investigators to disclose any Significant Financial Interests 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. In this context, an SFI is “**related**” if it would reasonably appear to be affected by the research or if the SFI is in an entity whose financial interests would reasonably appear to be affected by the research.

Once the information is complete and accurate, type your name in the box labelled “Signature.” This will cause the “Finalize” button to appear. ([Figure 28](#)) If your information is complete and accurate, and you are ready to submit to RCI, click the “Finalize” to submit your disclosure.

You cannot make any changes to your disclosure once you have clicked this button!

Verification I have used all reasonable diligence in preparing this statement. I have reviewed this statement contained herein and in any attached schedules is true and complete. I certify under penalty of law that the foregoing is true and correct.

Signature

Figure 28

Step 2: Edit a Saved Online Form 800

If you saved an incomplete form or a form that has not yet been finalized, a number will appear on the Form 800 tab and the status of the form will be “Draft.” Click your name in blue text to continue editing the form. ([Figure 29](#))

HOME / FORM SELECTION

Statement of Economic Interest

Investigator	Signature	Budget Period Start	Budget Period End	Date Submitted	Project
Trask		2017-01-25	2019-01-23		ACTPE

Figure 29

Step 3: View a Previously Submitted Online Form 800

Once a Form 800 has been finalized, the status of the form will no longer be listed as “Draft” and it can no longer be edited. To view the completed online form, click on your name in blue text. ([Figure 30](#))

Form 700-U	Form 800 1	Supplement 1	PHS
------------	-------------------	---------------------	-----

Statement of Economic Interest [Create New](#)

Investigator	Signature	Budget Period Start	Budget Period End	Date Submitted
Trask	Jessica Trask	2017-01-25	2019-01-23	2017-01-27

Figure 30

If you would like to view your completed Form 800 as a PDF, click on the green PDF button. Clicking the link will allow you to view and save your disclosure as a PDF document. The PDF will also contain a list of the other investigators on the project and whether or not they've completed their Form 800 disclosures.

Step 4: Complete Additional Disclosures

A. Positive Disclosures

If you answered affirmatively (“Positive Disclosure”) to any of the questions on the Online Form 800, you must complete the Supplemental Form. Positive Disclosures cannot be reviewed without a complete Online Supplemental Form; failure to submit may result in a delay of funding. For instructions on how to complete the Online Supplemental Form, follow the instructions in [The Online Supplemental Form](#).

B. Notifying Investigators and Tracking Form 800 Filing Status

As noted above, if your privately funded research involves human subjects, UC Davis [policy](#) requires the Principal Investigator **and all other investigators on the project** to complete and submit the Online Form 800. As a principal investigator, you can automatically notify all project staff of their Form 800 disclosure requirement via email. To send this email, click on the “Notify Investigators” button above the investigator list ([Figure 31](#)) and follow the instructions in the pop-up. The investigator list will also indicate whether or not the project staff have filed their Form 800 disclosure in real time.

ACTPE

[Add Investigator](#) [Notify Investigators](#)

Project Member (Y/N)	Name	Form 800 Filing Status
<input checked="" type="checkbox"/>	Chambers, Mieko	Incomplete
<input type="checkbox"/>	Trask, Jeffrey	N/A
<input checked="" type="checkbox"/>	Trask, Jessica	Complete
<input checked="" type="checkbox"/>	Tripp, Linda	Complete

Figure 31

C. Negative Disclosures

If you do not need to complete any additional disclosures, you may skip to [Tracking and Utilizing Your Completed Online Disclosure Forms](#).

IV. The Online Supplemental Form

Step 1: Access Your Online Supplemental Form

If you have answered affirmatively to any question on the Online Form 700-U or reported a related SFI on the Online Form 800, UC Davis [policy](#) requires that you complete and submit an Online Supplemental Form for each entity in which a financial interest exists.

A. Positive 700-U Disclosure (For Privately Funded Research)

If your 700-U disclosure requires the submission of an Online Supplemental Form, click on the “Form 700-U” tab and you will see a link appear in the “Supplemental Form” column. ([Figure 32](#)) You can access your Online Supplemental Form by clicking on this link.

Form 700-U Form 800 Supplement PHS

Form 700-U Submissions [Create New](#)

Confirmation	Signature	Date Submitted	Funding Amount	Project	Funding Entity (user added entities in green)	Status	Supplemental Form	PDF	Clone
8XM4YIHNQO4U	Jessica Trask	2017-01-26	25,000.00	ACTPE	CALIFORNIA COTTON GROWERS ASSOCIATION	Under Review	Incomplete	PDF	N/A

Figure 32

B. Positive Form 800 Disclosure (For Research Funded by Non-PHS Governmental Sponsors)

If your Online Form 800 requires an Online Supplemental Form, click on the “Form 800” tab and you will see a link appear in the “Supplemental Form” column. (Figure 33) You can access your Online Supplemental Form by Clicking on this link.



Investigator	Signature	Budget Period Start	Budget Period End	Date Submitted	Project	Funding Entity	Status	Supplemental Form	PDF
Trask	Jessica Trask	2017-01-25	2019-01-23	2017-01-27	ACTPE	CALIFORNIA COTTON GROWERS ASSOCIATION	Under Review	Incomplete	PDF

Figure 33

You can also access the Online Supplemental Form by clicking on the link labelled “Statement of Economic Interests – Supplemental Form.” (Figure 34) **Please note that this form is only required if you have reported a qualifying SFI on the Online Form 700-U or Online Form 800.** This link will take you to a list of projects requiring the completion of the Online Supplemental Form. There is no need to create a new form – if your project requires the completion of the Online Supplemental Form, it will be created for you.

COMING SOON

 **Statement of Economic Interests - Supplemental Form**

Forms 700-U & 800 Supplement

This form is required when a Principal Investigator and/or Other Investigator has made a positive disclosure of financial interest on the Form 800 or 700-U.

Figure 34

A number will appear on the “Supplement” tab for each project requiring the completion of the Online Supplemental Form. You can access the form by clicking on your name in blue text. (Figure 35)

Form 700-U	Form 800	Supplement 1	PHS
------------	----------	---------------------	-----

Economic Interest - Supplement

Investigator	Signature	Date Submitted	Project
Trask	---		ACTPE

Figure 35

If, at any point, you would like to save your disclosure and finish it at another time, click the “Save Draft” button at the bottom of the page ([Figure 36](#)) and refer to [Step 3: Return to a Saved Online Supplemental Form](#).

Verification	I have used all reasonable diligence in preparing this statement. I have reviewed this statement a contained herein and in any attached schedules is true and complete. I certify under penalty of p the foregoing is true and correct.
Signature	<input type="text"/>
	<input type="button" value="Cancel"/> <input type="button" value="Save Draft"/>

Figure 36

Step 2: Edit Your Online Supplemental Form

A. Add Your Significant Financial Interest

The system will automatically carry over your name, the project name, and the name of the sponsor. You can skip to any portion of the form by clicking the blue text on the left-hand side of the page. ([Figure 37](#))

Investigator: Jessica Trask
Project: A Clinical Trial for Purposes of Example
Sponsor: CALIFORNIA COTTON GROWERS ASSOCIATION



Management
Income
Equity
Consulting



Management

Do you, your spouse, registered domestic partner, or a dependent (non-consulting, non-independent contractor) with the entity?

Yes
 No

Figure 37

Management:

If you, or spouse, registered domestic partner, or a dependent child(ren) hold a position of management or employment (but are not consultants or independent contractors) with the entity, please answer this question affirmatively. (Figure 37) If you have answered this question affirmatively, please briefly describe the position and how it may relate to the project.

Income:

If you answer this question affirmatively (Figure 38), you will be asked to provide the amount of income, the nature (source) of the income, and when the income was received. **Please note that salaries, royalties, or other remuneration that you received from the Regents of the University of California does not need to be disclosed, regardless of the source.**

Income

Excluding gifts, contracts or grants administered by The Regents, have you, your spouse, registered domestic partner, or dependent child(ren) received income from the entity in the past 12 months?

- Yes
 No

\$ Provide the amount

Please indicate the nature(s) of the income:

- Consulting
 Honoraria
 Payment in Kind
 Per Diem
 Salary
 Travel
 Other

Indicate whether the income relates to the trailing 12 months, future 12 months or both.

- Trailing 12 months
 Coming 12 months
 Both trailing and forward periods

Figure 38

Equity:

If you answer this question affirmatively ([Figure 39](#)), you will be asked to provide the percentage of equity that you, your spouse, domestic partner, or dependent child(ren) hold, the form of the equity, and the value. If the entity is publically traded, please provide an estimate based on current market value. If the entity is not publically traded, provide an internal estimate of value.

Equity

Do you, your spouse, domestic partner, or dependent child(ren) hold an equity interest in this entity?

- Yes
 No

Indicate the percentage of the equity.

0.0 %

- Bonds
 Stocks/Stock Options
 Convertible Security
 Other

What is the value of the equity interest (provide an internal estimate if the instrument is not publicly traded)?

- \$0 - \$5,000
 \$5,000 - \$50,000
 \$50,001 - \$250,000
 Greater than 250,000

Figure 39

Consulting:

If you answer this question affirmatively ([Figure 40](#)), you will be asked to indicate whether or not you have a written consulting agreement with the entity, provide detailed information on the frequency, nature, and topic of our consulting activities, and whether or not the terms of your consulting will restrict the release or dissemination of research results by researchers involved in the project.

Are you a consultant with this entity?

Yes
 No

Do you have a written consulting agreement (non-University agreement)?

Yes
 No

Describe in detail the frequency and nature of your consulting activities and whether the consulting is separate from your research.

Will the terms of your consulting in any way restrict the release of information or other dissemination of research results by faculty/researchers involved in the project?

Yes
 No

Figure 40

B. Describe the Nature of Your Significant Financial Interest

Direct and Significant Impact on Financial Interests:

You will be asked to answer a series of questions regarding any direct and significant impacts that your relationship with the entity may have on the research. If you answer any of these questions affirmatively, you will be asked to provide a brief written explanation and/or additional information on how your SFI may be related to your research.

Separation of University and Outside Interests:

You will be asked to write a brief statement and answer questions about how you intend to separate your interests and obligations to the entity separate from your University activities. If you answer any of these questions affirmatively, you will be asked to provide a brief written explanation and/or additional information.

Openness of Teaching and Research Environment:

You will be asked to answer a series of questions regarding the involvement of undergraduate or graduate students, or postdoctoral scholars in the project. If you answer any of these questions affirmatively, you will be asked to provide a brief written explanation and/or additional information.

Use of University Resources and Facilities:

You will be asked if a private entity will be supporting the full direct and indirect costs of this project. If the project is sponsored by the government, a gift, or a material transfer agreement (MTA), indicate “Not Applicable.”

You will be asked to provide the name of any other entities funding the research (including UC Davis, if University funds will be supplementing the project) and the amount of support provided. (Figure 41) To add a non-University entity, click on the “Add Entity” link, type in the information, and click the “Add” button. Click on the “Add Entity” link again to add additional funding sources. To remove funding sources, click on the black X next to the entity name.

Please note that only non-University funding sources are added in this area. Any University support should be typed into the box labelled “University Support (if any).”

For non-governmental sponsored projects, is the entity supporting full direct and indirect costs of this project? If a gift or MTA indicate "Not Applicable."

- Yes
- No
- Not Applicable

List any other entity funding this research and their amount of support. Also identify any University funds that will be supplementing the project.

+ Add Entity

Enter entity name Enter entity support **Add** Cancel

Entity	Support	
AstraZeneca	5000	X

\$ University Support (if any)

Figure 41

Licensing:

You will be asked to answer a series of questions regarding licenses, options, patent applications, and/or copyright for any technology related to the research. If you answer any of these questions affirmatively, you will be asked to provide a brief written explanation and/or additional information.

Protection of Human and Animal Subjects:

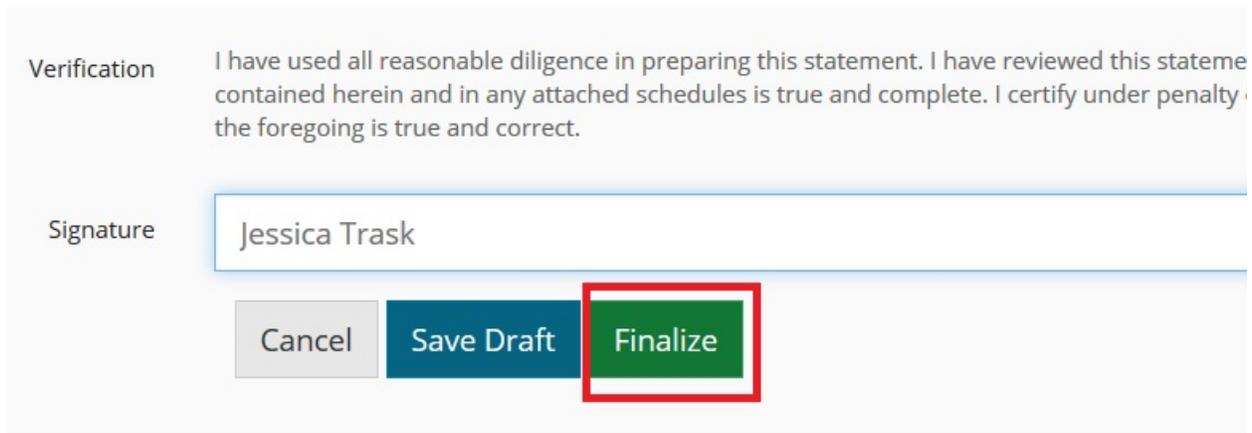
You will be asked whether your research involves human or animal subjects. If you answer any of these questions affirmatively, you will be asked to provide the IRB protocol and/or IACUC numbers.

Non-UC Davis Investigators:

You will be asked whether Non-UC Davis Investigators are involved with the design, conduct or reporting of the activities associated with the project. **Please note that this question is intended to capture information on collaborative research between UC Davis and non-UC Davis investigators. This does not include multi-site clinical trials.**

Once the information is complete and accurate, type your name in the box labelled "Signature." This will cause the "Finalize" button to appear. (Figure 42) If your information is complete and accurate, and you are ready to submit to RCI, click the "Finalize" to submit your disclosure.

You cannot make any changes to your disclosure once you have clicked this button!



The screenshot shows a form with two main sections. The first section, labeled 'Verification', contains a text area with the following text: "I have used all reasonable diligence in preparing this statement. I have reviewed this statement contained herein and in any attached schedules is true and complete. I certify under penalty of law that the foregoing is true and correct." The second section, labeled 'Signature', contains a text input field with the name "Jessica Trask" entered. Below the signature field are three buttons: "Cancel" (grey), "Save Draft" (teal), and "Finalize" (green). The "Finalize" button is highlighted with a red rectangular border.

Figure 42

Step 3: Return to a Saved Online Supplemental Form

If you saved an incomplete form, or a form that has not yet been finalized, a number will appear on the appropriate tab and the status of the form will be "Draft." Click on your name in blue text to continue editing the form. (Figure 43)

Form 700-U Form 800 **1** Supplement **1** PHS

Statement of Economic Interest [Create New](#)

Investigator	Signature	Budget Period Start	Budget Period End	Date Submitted
Trask	Jessica Trask	2017-01-25	2019-01-23	2017-01-27

Figure 43

Step 4: View Previously Submitted Online Supplemental Form

Once an Online Supplemental Form has been finalized, the status of the form will no longer be listed as “Draft” and it can no longer be edited. To view the completed online form, click on your name in blue text. (Figure 44) If you would like to view your completed Online Supplemental Form in PDF format, click on the green PDF button. This will allow you to view and save your disclosure as a PDF document.

Form 700-U Form 800 Supplement PHS

Economic Interest - Supplement

Investigator	Signature	Date Submitted	Project	Funding Entity (user added entities in green)	Status	PDF
Trask	Jessica Trask	2017-01-27	ACTPE	CALIFORNIA COTTON GROWERS ASSOCIATION	Under Review	PDF

Figure 44

V. Tracking and Utilizing Your Completed Online Disclosure Forms

Step 1: Track Your Completed Disclosures in the System

Once you have completed all of the necessary disclosures, there will no longer be numbers on any of the disclosure tabs.

If you completed the necessary forms but did not answer any questions affirmatively (a *negative disclosure*), your list of disclosures will look like Figure 45.

Funding Entity (user added entities in green)	Status	Supplemental Form
CALIFORNIA COTTON GROWERS ASSOCIATION	Approved	Not required

Figure 45

If you completed the necessary forms and answered some questions affirmatively (a *positive disclosure*), your list of disclosures will look like Figure 46.

Funding Entity (user added entities in green)	Status	Supplemental Form
CALIFORNIA COTTON GROWERS ASSOCIATION	Under Review	Completed

Figure 46

As your disclosure is reviewed by Research Compliance & Integrity and (if necessary) the Conflict of Interest Committee, the status will change. You can check the status of your disclosures at any time by logging in, clicking on the appropriate link, and viewing your list of disclosures.

Step 2: Provide Your Disclosures to Other Administrative Units

Financial disclosure forms are frequently requested by University and Medical System administrative units, like Sponsored Programs, the IRB, and the Clinical Trials Office. The online nature of this system means that wet ink signatures are **no longer required**, so you will **no longer receive** stamped documents from RCI. Instead, administrators will be able to log in to the Researcher Portal and directly check the status of your disclosures. In situations where hard-copy disclosures are required, you may provide a PDF file.

If the Conflict of Interest Committee (COIC) reviews your SFI and determines that the potential for conflict exists, you will still receive an email from RCI containing the details of the proposed management plan. You may provide this email to any administrative unit requiring proof of COIC review.