



Research and Institutional Integrity Office Update

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Research and Institutional Integrity Office

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RIIO Update

- **Updated 700U form for use in non-government sponsored research**
- **Reminder on disclosure of financial interests in NIH/PHS/NSF sponsored research**
- **Coming August 2012 – changes to PHS disclosures**



Updates to 700U Form

- Updated 700U form in effect immediately
- Only major change to form is date; no substantive changes to content or instructions
- Please ensure you are using most recent version of form, available at <http://www.fppc.ca.gov/forms/700-11-12/700-U-11-12.pdf> (link available on RIIO website)

STATEMENT OF ECONOMIC INTERESTS
FOR
PRINCIPAL INVESTIGATORS
A Public Document

Date Received
Campus Use Only

Campus: _____

ID No: _____

Please type or print in ink.

NAME (LAST)	(FIRST)	(MIDDLE)	TELEPHONE NUMBER ()
ACADEMIC UNIT OR DEPARTMENT		MAIL CODE	E-MAIL ADDRESS
TITLE OF RESEARCH PROJECT			

1. Information Regarding Funding Entity

(Use a separate Form 700-U for each funding entity.)

Name of Entity: _____

Address of Entity: _____

Principal Business of Entity: _____

Amount of Funding: \$ _____

Estimated Actual

2. Type of Statement (Check at least one box)

Initial (for new funding)

Date of initial funding: ____/____/____

Interim (for renewed funding)

Funding was renewed on: ____/____/____

3. Filer Information

A. Are you a director, officer, partner, trustee, consultant, employee, or do you hold a position of management in the entity listed in Part 1? No Yes

Title: _____

B. Do you, your spouse or registered domestic partner, or your dependent children have an investment of \$2,000 or more in the entity listed in Part 1 above? No Yes - value is:

\$2,000 - \$10,000 \$10,001 - \$100,000
 \$100,001 - \$1,000,000 Exceeds \$1,000,000

Date Disposed: ____/____/____, if applicable

C. Have you received income of \$500 or more from the entity listed in Part 1 during the reporting period? No Yes - amount is:

\$500 - \$1,000 \$1,001 - \$10,000
 \$10,001 - \$100,000 Exceeds \$100,000

Was this income received through your spouse or registered domestic partner? No Yes

3. Filer Information - Cont.

D. Have you received loans from the entity in Part 1 for which the balance exceeded \$500 during the reporting period? No Yes - highest balance:

\$500 - \$1,000 \$1,001 - \$10,000
 \$10,001 - \$100,000 Exceeded \$100,000

If you checked "yes," was the loan:

Secured Unsecured Interest rate: _____%

Was the loan entirely repaid within the last 12 months?

No Yes

E. Have you received gifts from the entity listed in Part 1 within the last 12 months valued at \$50 or more? No Yes - describe below.

Description: _____

Value: \$ _____ Date Received: ____/____/____

F. Has the entity in Part 1 paid for your travel during the reporting period? No Yes - describe below.

Type of Payment: (check one) Gift Income

Amt: \$ _____ date(s): ____/____/____, ____/____/____
(if applicable)

Description: _____

4. Verification

I have used all reasonable diligence in preparing this statement. I have reviewed this statement and to the best of my knowledge the information contained herein and in any attached schedules is true and complete. I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Date Signed _____
(month, day, year)

Signature _____
(File the originally signed statement with your university.)



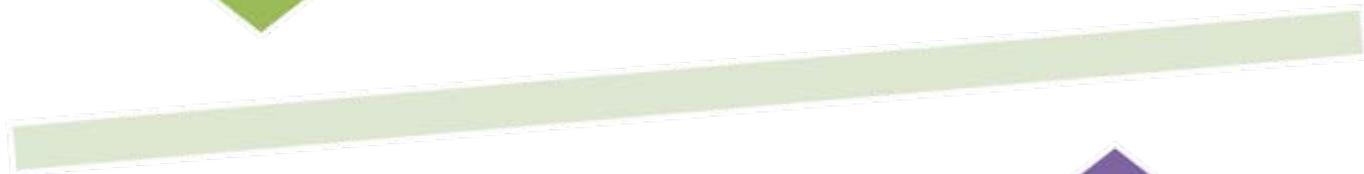
Financial Interest Disclosure Reminder NIH/PHS/NSF Sponsored Research

- For proposals created in eSRA, no DFI-1 is necessary
 - PIs must upload DFI-2 forms for all staff responsible for design, conduct and reporting of research
- Proposals created in RAPID continue to send DFI-1 and DFI-2 forms to RIIO by email or mail
- All DFI-3 forms (“positive” disclosures) continue to go to RIIO by email or mail



Lower Thresholds

- > \$5k income
- > \$5k equity
- Any equity in non-publicly traded company



Expanded Scope

- All interests related to “institutional responsibilities”, not just those related to the proposed research

