

UCLA Procedure 925.3 “Disclosing Financial Interests Relevant to Federally Sponsored Contracts and Grants for Research” has been revised in response to suggestions made after a recent not-for-cause federal site visit. This procedure is based on federal regulations and is applicable to all research proposals submitted to the federal Public Health Service (including National Institutes of Health), and to all requests for funding from the National Science Foundation.

Disclosure of financial interests and review under this procedure continues to be required by some other agencies including the University of California Discovery Grant Programs and the University of California Special Research Programs (including Breast, Tobacco-Related, and Universitywide AIDS Research Programs), the American Cancer Society, and the American Heart Association. In addition, it is also now applicable to the California Institute for Regenerative Medicine.

Please note that:

- The term “Investigator” has been substituted for the term “Key Personnel” to more closely reflect the language of the federal regulations. For the purposes of this procedure, “Investigators” are those individuals who share responsibility for the design, conduct or reporting of the project.
- For purposes of this procedure, the definition of “Investigator” no longer includes other individuals who will be named in informed consent forms for the project. Information about individuals who are named on informed consent forms but who do not share responsibility for the design, conduct or reporting of the project may be collected by the UCLA Office for Protection for Research Subjects.
- Under its recently issued Grants Administration Policy for Academic and Non-Profit Institutions, the California Institute for Regenerative Medicine requires grant recipients to establish and enforce a conflict of interest policy that conforms with requirements of 42 CFR Part 50, Subpart F (*Responsibility of Applicants for Promoting Objectivity in Research for Which PHS Funding Is Sought*). This procedure implements those requirements.
- The Form 740 used to disclose these financial interests has also been updated. Use of the January 2007 version of Form 740 is effective immediately. You can access the revised form at:
<http://www.research.ucla.edu/researchpol/formindex.htm#Federal>.

Investigators are encouraged to think broadly about their personal financial interests and should disclose their financial interests in all organizations where it is reasonable to expect that the outcome of the project might affect the Investigator’s financial interests, and/or where the project results might affect the organization’s value.

Please see:

http://www.adminvc.ucla.edu/appm/entry_policies.asp?vSection=public/925-3.htm to view the updated procedure.

Questions should be directed to Ann Pollack, Assistant Vice Chancellor – Research at x40387, or Claudia Modlin, Research Policy and Compliance Coordinator at x42642.

Sincerely,

Roberto Peccei

Vice Chancellor for Research