

Gift Conflict of Interest Process

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What documentation does COI need?

For research gifts, the Form 700-U must be submitted to the COI Office when a gift is received and be accompanied by any documentation associated with the gift, i.e., donor correspondence, copy of the gift check, gift acceptance forms, departmental acceptance letter, and the like.

What COI forms do I need to submit?

The disclosure form(s), State of California Form 700-U, and, if interests are disclosed on the 700-U, the “Addendum” should accompany all research gift processing paperwork.

700-U via Phoebe DocuSign!

The Form 700-U can now be completed and signed electronically with DocuSign, available through an integration with Phoebe.

See the Phoebe guidance at:

<https://rac.berkeley.edu/phoebe/700u.html>

Why Phoebe DocuSign?

If the Phoebe-generated DocuSign Form 700-U is submitted, no signed “wet-ink” paper copy is required.

Other DocuSign versions are **NOT** approved by the FPPC and would not be accepted.

How do I DocuSign in Phoebe?

The DocuSign Form 700-U may be initiated and partially completed by the Berkeley Regional Services (BRS)/Department Research Administrator (RA) assigned to work with the Principal Investigator's department/unit, then forwarded to the PI and/or Co-PI for completion and signature. The form may also be initiated, completed, and signed by the PI and/or Co-PI.

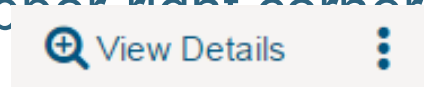
3 Ways to initiate in Phoebe

There are three ways to initiate the DocuSign Form 700-U in Phoebe Search, from the proposal, the award, or the investigator record.

Initiate from a Proposal

When you initiate the DocuSign Form 700-U using the proposal record, you will see 700-U forms associated with the proposal, including prime sponsors for incoming subawards, when applicable. The form(s) will be automatically filled out with applicable information from the Phoebe record.

Open the proposal record in Phoebe Search, then look for the “View Details” button in the upper right corner



Phoebe Search Tools

Click the three dots, then click “Request 700-U.” (If a 700-U is not required, “Request 700-U” will be grayed out.)

Initiate from Award

You may also use the award record to open the DocuSign Form 700-U. The steps will be the same as for the proposal record. You will see 700-U forms associated with the award, including prime sponsors for incoming subawards, when applicable. The form(s) will be automatically filled out with applicable information from the Phoebe record.

Initiate from Investigator

When you initiate the DocuSign Form 700-U using the investigator record, you will open a blank form. This version could be used for **gifts**, MTAs, and DUAs, as well as grant and contract proposals and awards. The steps will be the same as for the proposal record, except that there will be no pre-filled information on the form.

Using Phoebe Task to Track

- RAs and PIs and other investigators can track DocuSign Form 700-U status in Phoebe Search by going to Tasks in the upper-right corner, then selecting a Collect 700-U Case. The Collect 700-U Case Overview screen shows current and completed Form 700-U tasks.
- RAs and PIs and other investigators can use the Collect 700-U Case screen to navigate back to DocuSign forms to finish completing and/or signing the forms.

RA initiated...

After the RA opens the DocuSign Form 700-U, the RA can edit header and sections 1 and 2. When the RA is finished, clicking “Finish” will route to the PI to complete and sign. The RA can also save the form in DocuSign to “Finish Later,” found under “Other Actions” in the top-right corner. The DocuSign form will close, and the RA will be returned to the Collect 700-U Case Overview screen in Phoebe Search.

Investigator (Filer)

After the filer opens the DocuSign Form 700-U, the filer can edit the entire form. The filer can save the form in DocuSign to “Finish Later,” found under “Other Actions” in the top-right corner. The DocuSign form will close, and the filer will be returned to the Collect 700-U Case Overview screen in Phoebe Search.

To complete the DocuSign Form 700-U, the filer signs the form electronically and clicks “Finish.” The filer will be returned to the Collect 700-U Case Overview screen in Phoebe Search. After the filer completes the form in DocuSign, email will be sent to the RA with a copy of all completed and signed forms. The filer will receive email with a copy of their form.

Submitting the completed 700-U

The RA (or filer) will download the PDF and either upload to Phoebe or send as an email attachment, following the current [State of California Financial Disclosure](#) instructions. Apart from the electronically signed in Phoebe DocuSign Form 700-U, the rest of the process remains the same.

If can't Phoebe DocuSign...

If the original [PDF version](#) (anything not **Phoebe** DocuSign) of the form is used, the paper 700-U, with original ink signature and date, must be sent or delivered to the COI Office, in addition to including the 700-U with the gift processing paperwork.

Next Steps

Your 700-U is completed via Phoebe DocuSign, now what?

Gift Services (UDAR) and COI...

Research gift processing requirements

- Check or electronic fund transfer notification
- Documentation supporting the donor's intent for their gift
- Submission to the Research Gift Intake form, for Fund Management review
- Form 700-U

Checks should be sent to:

University of California, Berkeley

Gift Services

1995 University Avenue, Suite 400

Berkeley, CA 94704-1070

Wire/ACH Instructions for the UC Berkeley Foundation

For gifts to a UC Berkeley Foundation fund, the donor should provide the following instructions to their bank:

UC bank name: Bank of America, N.A.

Bank account number: 01758-00351

ROUTING IDENTIFIERS

Routing/transit (ABA) number: 0260-0959-3

ACH routing: 121000358

CHIPS address: 0959

SWIFT address: BOFA US3N

Bank address for routing: 100 West 33rd Street, New York, New York, 10001, USA

Branch physical address: 2151 Shattuck Avenue, Berkeley, California, 94704, USA

Reference field: Donor name, fund designation

Wire/ACH Instructions for the UC Regents

Instructions to Units for submitting paperwork for processing wires made to the UC Regents:

UC bank name: Bank of America, N.A.

Bank account number: 01753-80001

ROUTING IDENTIFIERS

Routing/transit (ABA) number: 0260-0959-3

ACH routing: 121000358

CHIPS address: 0959

SWIFT address: BOFA US3N

Bank address for routing: 100 West 33rd Street, New York, New York, 10001, USA

Branch physical address: 1655 Grant Street, Concord, California, 94520, USA

Reference field: Donor name, fund designation

- Contact both Gift Services at GiftHelp@Berkeley.edu and the Regents Bank Wires Office at bankwires@berkeley.edu when a wire is expected. Please provide the donor name, the amount expected, and the fund designation.
- If you are a fundraiser soliciting gifts on behalf of a campus unit, alert the unit's administrative team of the incoming wire so they can claim it from the Bank Wires Office.
- The campus unit claims the transferred money from the Bank Wires Office by adding contact and chartstring information to the [Unclaimed Wires/ACH Google Sheet](#).
- The Bank Wires Office alerts Gift Services, who then creates a Cashiers Deposit System (CDS) Miscellaneous Receipt to place the money in a gift suspense chartstring.
- The campus unit emails all backup documentation to GiftHelp@Berkeley.edu, including copies of any relevant solicitation, proposal, gift letter, emails or gift invoices sent to the donor that may clarify gift purpose.

Research Gift Intake Form

The [Research Gift Intake Form](#) is used by the UDAR Fund Management team (fundhelp@berkeley.edu) to review research gift documents and accept gifts to the UC Berkeley Foundation or UC Regents. The form requests the information needed to ensure that a transaction can be accepted by UC Berkeley as a gift and will comply with relevant University policies and guidelines, as well as IRS rules.

Once Fund Management reviews the research gift for compliance, all of the information, including the 700-U, is automatically shared with the UDAR Gift Services team for gift processing.

The Research Gift Intake Form should be used in the following cases:

- To request a research gift agreement
- An agreement or letter for a research gift that needs to be reviewed and signed by an authorized signatory (UDAR is the only unit on campus who can accept gifts and sign gift agreements on behalf of Berkeley)
- A new check or wire for a research gift (\$500+ for corporations, and \$5,000+ for individuals) has been received and needs to be processed and deposited into an existing fund or a new fund. The Research Gift Intake Form serves as the Regents wire claim process for research gifts

Gift received a positive 700-U disclosure which requires COI review...

COI Review

The UC Berkeley faculty of the Conflict of Interest (COI) Committee reviews all positive financial disclosures and takes the necessary steps to manage, reduce, or eliminate any conflicts of interest before approval is granted.

Review Process

- Positive disclosure received
- COI Coordinator reviews disclosure to determine if expedited or full review is needed
- COI Committee review
 - Expedited review (1-2 weeks)
 - Full review (monthly)
- Results emailed to Investigators, RA, and staff such as **Gift (UDAR)**, SPO, IAO (5-10 business days after review)

COI Meeting Schedule*

Submission Deadline for All Final Documents	COI Committee Full Review Meeting Date
December 6, 2021	December 20, 2021
January 7, 2022	January 24, 2022
February 11, 2022	February 28, 2022
March 7, 2022	March 21, 2022
April 4, 2022	April 18, 2022
May 2, 2022	May 16, 2022
June 6, 2022	June 20, 2022

*subject to change

Gift (UDAR) receives COI notification, now what?

Processing the gift...

- The gift is audited by a gift analyst and recorded in the Cal Advancement Data System (CADS). A gift receipt is generated and mailed to the donor.
- The gift will appear in CalAnswers after the overnight data refresh of the Berkeley Financial System (BFS) and CADS.
- The donor's name will be listed in the description field. Gift Services can provide the reference number if assistance is required in locating the gift.

More information can be found...

Gift:

<https://frcp.berkeley.edu/faculty-and-staff/gifts-versus-grants/research-gifts>

COI:

<https://researchcoi.berkeley.edu/gift.html>

Any questions?

Gift Services: gifthelp@Berkeley.edu

COI: coi-team@Berkeley.edu

Thank you