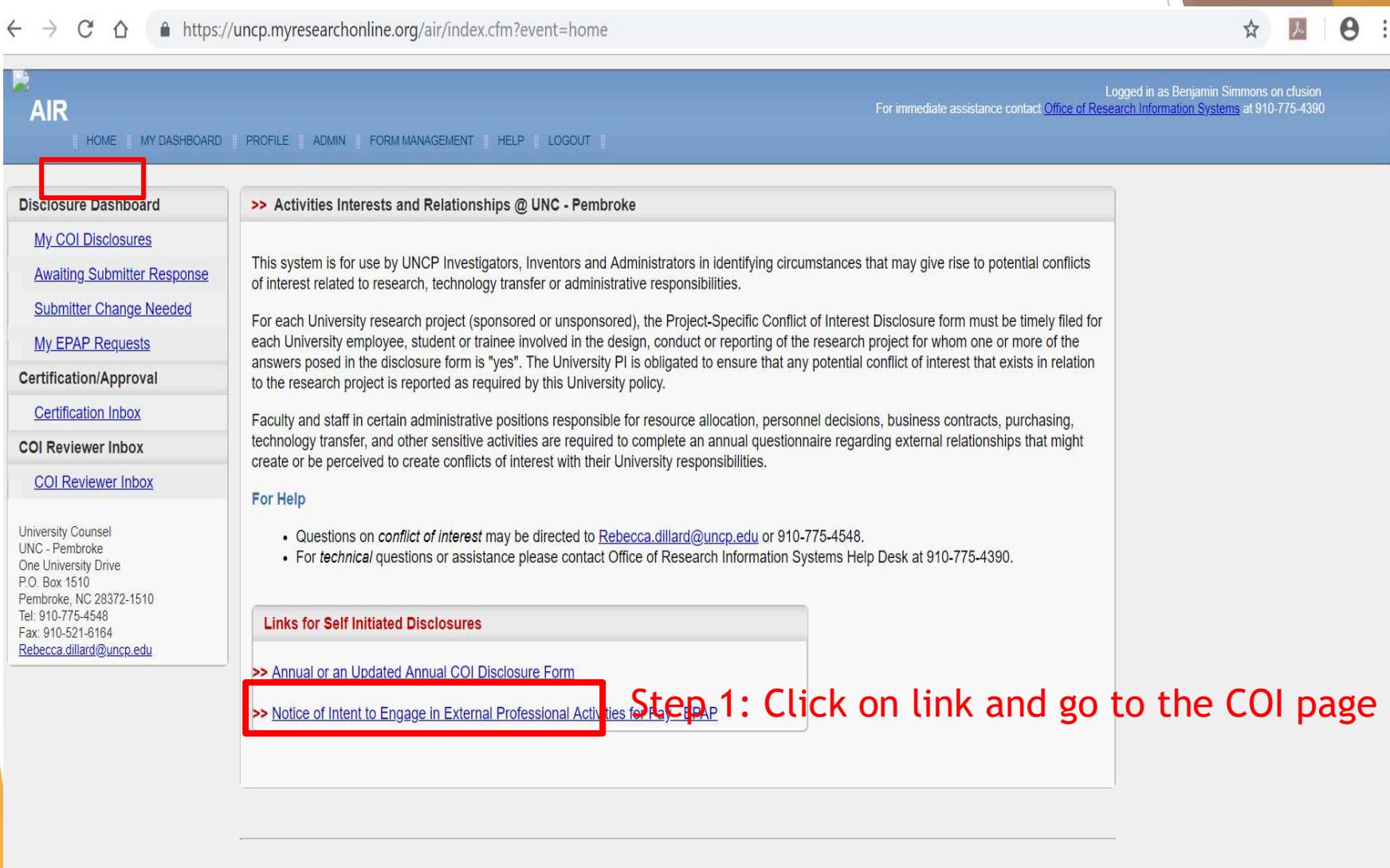


*Instructions for Annual Conflict of Interest
Disclosure by UNCP EHRA employees*

- ▶ Go to <https://uncp.myresearchonline.org/air>.
- ▶ Log in using your normal user ID and password
- ▶ If you cannot log in see contact the Office of Human Resources as indicated on slide 4
- ▶ Once on Activities, Interests and Relationships (AIR) database go to blue field at top of page and click on “Home”.

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<https://uncp.myresearchonline.org/>

General Questions

Contact Information

1. NOTE: Contact information displayed is for reference only and cannot be revised on this screen.
For assistance with updating your contact information, please contact the business manager for your department.*

Last Name * First Name * Dept Name *

Role
 Discloser

Information on Activities Current and/or Anticipated in the Next Twelve Months

2. Do you or a family member receive personal compensation from, or have a current or pending equity interest (other than mutual fund holdings) in any business, organization or entity whose operations are related or potentially related to your administrative, instructional, operational or financial responsibilities at the University? *

Yes No

3. Do you or a family member hold an executive position or serve on the board of directors or on a scientific or technical advisory board or any other board of a business or a not-for-profit organization that is engaged in an area related to your administrative, research, instructional, operational or financial responsibilities at the University? *

Yes No

4. During the past twelve months, have you or a family member received any favors or gratuities or anything of monetary value from a person or business that is related or potentially related to your responsibilities at the University, or in the next twelve months do you expect to do so? Exceptions are gifts of texts or payment for a modest meal. *

Yes No

5. Are you or a family member engaged in any other activities or relationships that could be perceived to have the potential for creating either a conflict or the appearance of a conflict with your University responsibilities? *

Yes No

* Required.

To navigate the COI Disclosure Annual, press continue or any link in the Item List to your left.

Step 2: Enter your last name...a pop-up box will appear and allow you to search and select your name. If you do not find your name please notify us using contact email on the next slide

Step 3:
Fill in contact information

Step 4: Answer questions

Step 5: Save and Continue



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Additional information

The screenshot shows a web browser window for the UNCP myresearchonline AIR application. The URL is https://uncp.myresearchonline.org/air/eformScreens.cfm?MasterId=15479&ScreenId=47. The page title is "Additional Information" with Reference Id: 15479. On the left, there's a sidebar with "Item List" and sections for "Conflict of Interest", "General Questions", and "Additional Information". The main content area has a heading "1. Please provide any additional information here that is not already addressed above. You are not required to submit any additional information." Below this is a large text input field. At the bottom, there's a note about navigating the COI Disclosure Annual and a "Save and Continue" button. A red arrow points from the text above the input field to the input field itself, and another red arrow points from the "Save and Continue" button to the button itself.

Step 6: Enter any additional information

Step 7: Save and Continue

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Certify and Submit

Step 8: Certify and Submit

The screenshot shows a computer monitor displaying a web browser window for the AIR application at <https://uncp.myresearchonline.org/>. The page title is "Routing >> Certify & Submit COI Disclosure Annual Reference Id: 15479". The main content area displays the "COI Disclosure Annual: Annual" and "Discloser: Benjamin Simmons". Below this, a message states: "You are now ready to submit your disclosure. You may do this by pressing the 'Submit' button below. Once submitted, you will be required to certify the disclosure. Only after certification will the disclosure be forwarded to the Office of Research Compliance for review." A large orange arrow points from the text "Step 8: Certify and Submit" to the "Certify & Submit" button. The bottom of the screen shows the Windows taskbar with various pinned icons.

COI Training

*Categories and Examples of
Potential Conflicts*

Examples of Scenarios that Create Conflicts of Interest

- ▶ The following are examples of situations that create some degree of conflicts of interest. Some of these conflicts can be managed with an appropriate management plan while others are impermissible under UNCP regulations.
- ▶ **These relationships and activities should be disclosed in annual conflict of interest disclosures and project specific disclosures when applicable.**
- ▶ Receiving consulting fees from a company while performing clinical research on the company's technology.
- ▶ Owning stock in a company while performing research sponsored by the company.
- ▶ Conducting federally-funded research that could affect the financial interests of a company in which the investigator has a personal financial interest.
- ▶ Involving students or post-doctoral students and trainees in work that could directly benefit a company in which the faculty member supervising the students has a personal financial interest.
- ▶ Giving a company preferential access to results of UNCP-conducted research while providing personal consulting services to that company.

Cont.

- ▶ Participating in institutional purchasing decisions about products made by a company in which you hold stock.
- ▶ Receiving licensing milestone payments for licensed technology while performing clinical research on that licensed technology.
- ▶ Holding a clinical appointment while having an executive position at a for-profit biomedical company.
- ▶ Serving on the Board of Directors of a company while participating in clinical research on the company's technology.
- ▶ Serving on the Board of Directors for a company while receiving sponsored research from that company.
- ▶ Accepting a gift from a vendor.
- ▶ Being involved in the decision to hire a company in which your spouse is an employee to provide services to UNCP

Activities that may involve conflicts of interest or commitment fall into four general categories that differentiate interests, activities and relationships according to potential for adverse impact.

- ▶ **Category I:** Relationships that are generally allowed because they do not compromise the objectivity of research results, the integrity of faculty-student interaction, decision-making, or other interests of the University, a sponsor, or the public.
- ▶ These relationships are generally minimal in their personal financial impact, and otherwise do not represent a potential source of unreasonable bias. If these relationships involve the receipt of compensation or reimbursement, they must be reported at least annually so long as they continue to exist and may be subject to investigation and further oversight by appropriate University personnel.

Category I: Activities That Are Allowable but Must Be Disclosed:

- ▶ Receipt of royalties or other payments for scholarly works, other writings, or for inventions,
- ▶ Receipt of compensation in the form of honoraria or reimbursement in connection with service to professional associations, service on review panels, presentation of scholarly works, and/or participation in accreditation reviews.

- ▶ **Category II:** Relationships that may be allowed following administrative review and analysis. Such relationships may necessitate supervisory procedures be put in place to prevent bias or inappropriate activities and to ensure academic standards and institutional integrity.

Category II: Activities Requiring Disclosure for Further Administrative Review and Analysis

- ▶ Requirement that students purchase a textbook or related instructional materials written or copyrighted by faculty or staff, or members of his or her immediate family, which produces compensation for the faculty, staff or family member.
- ▶ Receipt of compensation or gratuities from any individual or entity doing business with the University. Note that no University employee may seek or receive any gift, reward, or promise of reward for recommending, influencing, or attempting to influence the award of a contract by his or her employer. (See N.C.G.S. 14-234 and N.C.G.S 138A).
- ▶ Service on the board of directors or scientific advisory board of an enterprise that provides financial support for University research when the faculty or staff member, or a member of his or her immediate family, may benefit from such financial support.

Cont.

- ▶ An equity or ownership interest in a publicly or non-publicly-traded entity or enterprise held by a faculty or staff member, or a member of his or her immediate family, that does business with the University or is related to their university employment responsibilities.

- ▶ Receipt of financial support for University research under conditions that require research results to be held confidential, withheld from publication, or inordinately delayed in publication. Research conducted by faculty or students under any form of sponsorship must maintain the University's open teaching and research philosophy and must adhere to a policy that prohibits secrecy in research, unless approved by the UNC President.

- ▶ **Category III:** Relationships presenting such serious problems that they are generally presumed to be inappropriate. In such cases, a heavy burden will rest with the faculty or staff member to demonstrate to the University's satisfaction the compatibility of such practices with University policy prior to going forward with the proposed activity and the implementation of an appropriate management plan.

Category III: Activities That Are Generally Not Allowable or Permitted Unless an Approved Conflict of Interest Management Plan is in Place

- ▶ University research that involves the use of a technology owned by, or contractually obligated to (by license or an option to license, or otherwise) the individual, or to an enterprise or entity, in which the individual or a member of his or her immediate family has a consulting relationship, holds an equity or ownership interest, or holds an executive position.
- ▶ Receipt of grant or contract funding for University research from an enterprise or entity in which the individual or a member of his or her immediate family has an equity or ownership interest.
- ▶ Assignments of students, post-doctoral fellows, or other trainees to University research projects sponsored by an enterprise or entity in which the individual or a member of his or her immediate family has an equity or ownership interest.

► **Category IV:** Relationships that are not permitted.

** The examples provided below are representative, but not all-inclusive examples of activities in each of the four categories:

Category IV: Activities that are Not Allowable under Any Circumstances

- Referrals of University business to an external enterprise in which a faculty or staff member or a member of his or her immediate family has a financial interest.
- Negotiating or administering a contract on behalf of the University from which a faculty or staff member derives a direct benefit from the contract.
- Soliciting or receiving a gift, favor, reward or service, or promise of an award in exchange for recommending, influencing, or attempting to influence the award of a contract by the University.
- Associating a faculty or staff member's own name with the University in such a way as to profit financially by trading on the reputation or goodwill of the University.
- Unauthorized use by faculty or staff of privileged information acquired in connection with one's University responsibilities.
- Signing agreements that assign University patent and other intellectual property rights to third parties without prior University approval.
- Any activity otherwise prohibited by law or University policy

Thank You!!

