

COI – COC Disclosures





Research Compliance and Regulatory Affairs
Research Administration

What is a COI?

 A conflict of interest is financial or other personal considerations may compromise — or have the appearance of compromising — an investigator's professional judgment in conducting or reporting research

 An example would be engaging with a sponsor of your Emory research in a consulting role

What is a COC?

- A Conflict of Commitment is the institutional determination that an individual's intellectual energy, time, or effort to external activities interferes with Emory responsibilities
- An example would be taking on a 2nd role outside of Emory that would impede one's ability to do their job fully

Importance of Disclosure

- Disclosing helps ensure compliance!
- Ethics of Transparency
- Good Science requires objectivity
- Avoiding Legal Issues

COC Disclosure Requirements

- Disclose Before Activity Begins
- Disclose these: Professional Activities that are based on expertise and knowledge conducted on behalf of another institution regardless of whether compensation is received.
- Disclose in eDisclose platform

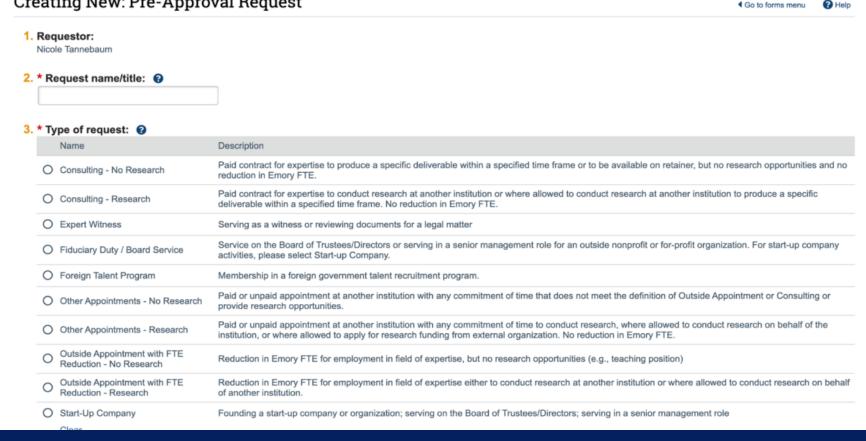
Pre-Approval Request Form



Research Compliance and Regulatory Affairs Research Administration The Pre-Approval Request SmartForm can be initiated from your Dislcosure Profile workspace. Click on the Request Pre-Approval button to access the Pre-Approval Request SmartForm.

Request Pre-Approval

- 2. Pre-Approval Request SmartForm: Request Information
 - 2.1. Enter a name for this pre-approval request.
 - 2.2. Select the type of pre-approval request that you want to submit. Creating New: Pre-Approval Request



More Information

- https://rcra.emory.edu/coi/faqs.html
- https://grants.nih.gov/policy/foreigninterference/requirements-for-disclosure

International Travel

PAR

Export Control

Review



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EC Review for International Travel

- Travel destination is it sanctioned or embargoed
- Purpose of travel
- Traveling with equipment or research material (including hand-carried items)
 - Is an export license required
 - What is the end use of equipment or material
 - O Who is the end user?
- Travel with laptops requires specific paperwork for embargoed destination (Cuba, IRAN, Russia, Ukraine regions of Crimea, Luhansk and Donetsk)
- Electronic Export Information filing required for laptops and handheld devices –
 China, Russia, Venezuela
- Travel Briefings provided by Global Safety and Security, Office of Global Strategy and Initiatives.

International Travel

PAR

Research Security

Review



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International Travel PAR – Research Security Review

Destination

FCOC (Russia, China, Iran, North Korea)

Purpose

Supporting documentation (invitation, contract, sponsor)

VC check on host entity/contact

Comment

Concerns - briefing

Loaner Laptop Program

RS International Travel Recommendations

• Contact <u>researchsecurity@emory.edu</u>

Case Study

Dr. Johnson has been invited to be keynote speaker at a conference at Huazhong University in Wuhan, China. The conference offers to reimburse travel expenses and pay honorarium of USD500.

- How should Dr. J. purchase the ticket?
- What details need to be included in eDisclose?
- What supporting documentation should be included in eDisclose?
- Can Dr. J. take their laptop?
- Can Dr. J. talk about a new NIH award that is almost completed?



Disclosure Requirements Matrix



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DISCLOSURE REQUIREMENTS



- SPONSORED RESEARCH INCLUDES EXCHANGE OF MATERIALS OR DATA
- OUTSIDE ACTIVITIES INCLUDE PATENTS, STOCK, GIFTS, CONSULTING, CONTRACTS, BOARD SERVICE, FTRP, MFTRP, ROYALTIES, LICENSE FEES
- INTERNATIONAL TRAVEL IS REVIEWED BY EXPORT CONTROLS, RESEARCH SECURITY, AND GLOBAL STRATEGY &
 INITIATIVES OFFICES; PRE-TRAVEL BRIEFINGS ARE PROVIDED AS APPROPRIATE.
- LOANER DEVICES ARE AVAILABLE AND HIGHLY RECOMMENDED.

Contact Information:

- <u>exportcontrol@emory.edu</u>
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