

# Reporting Requirements for UH Researchers

Conflicts of Interest, Conflicts of Commitment,  
and other reporting requirements

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# Disclosures to the University

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## UH Conflict of Interest Policies

- **UH Executive Policy 12.214:** Conflicts of Interest and Commitment
- **UH Administrative Policy 12.304:** Procedures for Disclosing and Addressing Conflicts of Interest Related with Extramurally Funded Activities
- **A5.504:** Procedures for disclosing and addressing conflicts of interest and commitment



# Disclosures to the University

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## Key Definitions from UH COI policies:

**Investigator** - Principal Investigator (PI), Project Director (PD) or any other senior/key person responsible for the design, conduct, or reporting of research

**Immediate Family** – Investigator’s spouse, domestic partner or dependent children

**Institutional Responsibilities** – Investigator’s professional responsibilities on behalf of UH, e.g., research, teaching, training, professional practice and memberships or service

**Conflict of Interest (COI)** – financial or other professional/personal interest which may influence or appear to influence an Investigator’s objectivity or judgement in fulfilling his or her institutional responsibilities

**Significant Financial Interest (SFI)** - anything of monetary value to an Investigator or Investigator’s immediate family member, that reasonably relates to an Investigator’s institutional responsibilities



# Disclosures to the University

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- **Significant Financial Interests (SFI)** include but are not limited to:
  - Remuneration (outside income) over \$5000 from **any** outside entity;
  - Equity interest (e.g. stocks) in a **public** entity over \$5000;
  - Equity interest of **any value** in a **private** entity;
  - Aggregated interests, both income and equity, over \$5000 entity
  - Royalties or income from intellectual property (e.g. patents, copyrights, and trademarks) from an outside entity
  - Sponsored Travel: reimbursement or sponsorship for travel by an outside entity (applies only to PHS-funded investigators)

*“Entities”  
includes  
foreign  
organizations*







# Disclosures to the University

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## Internal COI Disclosure to UH is not required for:

- Income, reimbursement, or sponsorship of travel by a government agency, **U.S.** institution of higher education or academic teaching hospital, medical center, or research institute affiliated with a **U.S.** higher education institution
- Salary, royalties, or intellectual property right payments from UH
- Income from investment vehicles, e.g., mutual funds and retirement accounts (no direct control over investment decisions)
- Remuneration unrelated to UH institutional responsibilities





# Disclosures to the University

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## Annual COI Disclosure

- UH and RCUH employees due **April 15** - “paper” disclosure from AP A5.504 attachment A page 22 - 29
- Extramurally-funded Investigators and key personnel submit disclosure online via new myGRANT rCOI module (rolling expiration every 12 months)

## Ongoing Submission

- New employees
- Changes to annual disclosure
- Proposal/Award – updates in myGRANT



# Disclosures to the University

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## COI Training Requirement

\*PHS-funded Investigators must also complete COI training available through CITI at <https://www.citiprogram.org/?pageID=668>:

- At least every four years; *and*,
- Immediately, *if* :
  - UH revises its policy
  - Investigator is new to UH
  - UH finds an Investigator is not in compliance with COI policy or management plan.

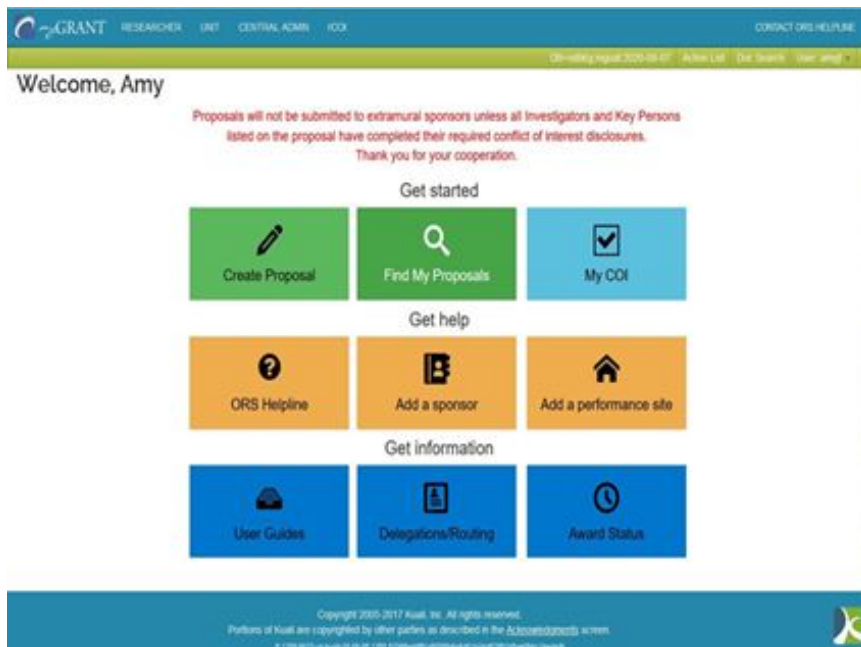
### ***\*What is PHS?***

PHS is Public Health Service which includes the National Institutes of Health (NIH), the Agency for Healthcare Research and Quality (AHRQ), the Centers for Disease Control and Prevention (CDC), the Health Resources and Services Administration (HRSA) and the Substance Abuse and Mental Health Services Administration (SAMHSA)



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The new rCOI system launched on September 21, 2020.



There are two ways to access rCOI:

- Click on the **My COI** box from the myGRANT homepage
- or
- Follow the link below

<http://mygrant.ors.Hawaii.edu/rCOI>

A User Guide for using the new rCOI system can be found at <http://www.ors.hawaii.edu/index.php/coi-information>



# Disclosures to the University

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## Conflicts of Commitment (COC)

Federal research agencies are focusing on strengthening disclosure requirements due to concerns over undue foreign influence (Jan 2021):

- 2021 JCORE Subcommittee on Research Security (National Science and Technology Council - Joint Committee on the Research Environment)
- NSM-33 Presidential Memorandum on US Government-Supported Research and Development National Security Policy
- National Defense Authorization Act for FY 2021

As a result, universities are evaluating their COC policies and procedures.



# Disclosures to the University

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## Conflicts of Commitment (COC) *continued*

### Definition of COC - based on 2021 JCORE and NSM-33

“A situation in which an individual accepts or incurs conflicting obligations between or among multiple employers or other entities”

### Current UH policies related to COC

- Board of Regents Policy 9.207: Outside Employment
- AP 9.240 Record of Outside Employment



# Disclosures to the University

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## Conflicts of Commitment (COC) *continued*

### UH Board of Regents Policy 9.207: Outside Employment

“Members of the university faculty and staff are encouraged to promote the cultural and economic development of the state by utilizing their special abilities and skills in research, teaching, scholarly or artistic production, and consulting over and above the full requirements of the position to which they are appointed. Such additional supplementary activity **must in no way interfere** with the creditable performance of the **primary obligation to the university**. Outside employment must be of a professional nature, and it should contribute to the professional competence of the faculty member.” (III.B.1.)



# Disclosures to the University

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## Conflicts of Commitment (COC) *continued*

### AP 9.240 Record of Outside Employment

- Completion of Form 50
- Signed endorsement by Chair and approval by Dean/Director

Deadline for completion of Form 50:

*The form must be filed at least **one week prior to the beginning of each semester** (or fiscal year, if appropriate) in which outside employment is contemplated, or, when there has been a change in plan previously proposed and approved. The form may be **filed promptly at other times to accommodate situations where outside employment opportunity materializes on short notice.** (AP 9.240 3.b.)*



# Disclosures to the University

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## Intellectual Property and Inventions

- Promptly report all inventions to the Office of Innovation and Commercialization (OIC)
  - Submit online through *myInvention* portal at <https://www.hawaii.edu/research/disclosing-an-invention/>
- OIC will meet with you to discuss the invention and make a preliminary determination of licensing feasibility, novelty, potential applications, and possible markets





# Disclosures to Sponsors

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## Current and Pending (Other Support)

- Update and maintain your current and pending support documentation
- Include ALL sources of support, including
  - Foreign and domestic
  - Scholarships or fellowships
- Follow specific sponsor instructions
- When in doubt, report









# NIH Requirements

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## Foreign Component

- Significant scientific element or segment of a project conducted outside the U.S.
  - Whether or not NIH funds are expended
  - Addition of foreign component must receive PRIOR approval by NIH





# NSF Requirements

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- [Dear Colleague Letter](#) issued July 2019
- Proposed clarification of the proposal disclosure requirements and reporting requirements for both Current and Pending Support and Professional Appointments
- October 2020 – Use NSF-approved format for biographical sketches (including disclosure of all domestic and **foreign** appointments and Current and Pending Support information)







# Department of Energy requirements

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## June 2019 DOE Directive

- Participation in foreign talent programs is prohibited for its employees and contractors

*Defined as “any foreign-state-sponsored attempt to acquire US scientific-funded research or technology through foreign government-run or funded recruitment programs that target scientists, engineers, academics, researchers, and entrepreneurs of all nationalities working or educated in the United States.”*



# Additional Resources

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<https://www.hawaii.edu/research/foreign-influence/>

**Training for individuals and departments available upon request.**

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