## Personnel Committee

Minutes for meeting of October 7, 2020, 11:30 a.m.

## **Zoom Meeting**

Attendees: Mason Cash, Yoon Choi, Mark Ehrhart, Tim Hathorne, Stephen King (Chair), Karol Lucken, Michael Proctor, Blake Scott, Kristine Shrauger, Martine Vanryckeghem, Edwin Torres, Jascinth Lindo, Lucretia Cooney, Jana Jasinski.

Minutes - corrected and approved.

Amended Topic List for Personnel.

- 5 Prohibited Conduct Policy.
  - Review of Prohibited Conduct Policy #2.004.1 to include a requirement for followup.
  - Appears to be new wording for a topic discussed before, Faculty Administrative
     Action Consistent Investigation and Consequences. It has been renamed and
     retitled. Keep as discussed before.
- 10 Required Digital Training for Faculty and Staff.
  - A Recurring problem with required UCF digital training is subjective questions (FERPA training), unrealistic quiz passing scores, no means to request feedback to know what was missed (FERPA training), and erroneous scoring (ECCT).
  - o Imagery should be included in this also.
  - Adjuncts are also required to complete all the training. Who is being asked training to do that is also an issue?
  - o Edwin Torres will look into this.

## https://regulations.ucf.edu/index.asp.

Draft policies will show up and faculty/committees have a short window of time to review and address the policy. As draft policies are published, the Senate Leadership would like to attempt to identify those draft policies and aim it toward a committee who will look at it right away, potentially flag it, and write a resolution.

These are 2 new policies that have come up, as UCF is trying to get into compliance with the U.S. government:

- 11 UCF Policy 2-004.2 Prohibition of Discrimination, Harassment and Related Interpersonal Violence.
  - The University of Central Florida is committed to maintaining a safe and non-discriminatory learning, living and working environment for all students, university and DSO employees and volunteers, registered student organizations, and third parties. Academic and professional excellence can exist only when each member of our community is assured an atmosphere of safety and mutual respect. All members of the university community are responsible for the maintenance of an environment in which people are free to learn and work without fear of discrimination, discriminatory harassment, or interpersonal violence.

    Discrimination diminishes individual dignity and impedes equal employment and educational opportunities.
- 12 UCF Policy 2-012 Title IX Grievance Policy



# **Faculty Senate**

- o On May 19, 2020, the U.S. Department of Education issued a Final Rule under Title IX of the Education Amendments of 1972 (Final Rule) that:
  - Defined the meaning of "sexual harassment" (including forms of sexbased violence) for the purposes of Title IX;
  - Addressed how the university must respond to reports of misconduct falling within that definition of Title IX sexual harassment;
  - Mandated a grievance process that the university must follow to comply with the law in these specific covered cases before issuing a disciplinary sanction against a person accused of Title IX sexual harassment; and,
  - Required implementation of the new regulations by August 14, 2020.

## Motion was made and passed:

- to send the two policies back to Steering with the recommendation that the policies should be sent to the Ad Hoc Committee for Equity, Inclusion and Diversity (EID).
- Solicited comment from the committee is that the two words "without fear" is an
  unrealistic policy and that it could be interpreted so that it could be retaliatory toward
  someone.

There is a new policy that is open for discussion (<a href="https://policies.ucf.edu/rfc.asp">https://policies.ucf.edu/rfc.asp</a>): 4-504.3 DRAFT Reporting Outside Activities, Financial Interests and Potential Conflicts of Interest or Conflicts of Commitment in Research.

- Please go look at the policy. It has already been referred to Research Council with red flags.
- The problem is in the implementation of the draft survey.
- Many of the changes are due to the State Law.
- Please let your colleagues know and forward comments to the policy committee.

## Taskforces reports:

- Exit Interview taskforce reported:
  - o They are researching how other institutions are doing exit interviews.
  - They have compiled questions to discuss with HR and to invite HR to work with them on this.
  - They will be reaching out to Colleges and Faculty Excellence for assistance.
- Committee on Commencement meeting has there been a chair appointed yet? The President must appoint a chair. Jana will ask again.
- Faculty Facing Evaluation we have a list of people to evaluate along with a list of question. Thanks to Jana for her help in providing information.
- Spousal Conflicts of Interest according to Doug Backman there is no federal best practices stopping spouses from working together on grants.

# DRAFT OCTOBER 2020

SUBJECT:	Effective Date:	Policy Nur	nber:
Reporting Outside Activities, Financial Interests and a-Potential Conflicts of Interest or Conflicts of Commitment in Research	<del>08-20-12</del>	4-504	4. <del>2</del> 3
	Supersedes:	Page	Of
	<del>4-504,</del> 4-504. <u>12</u>	1	7
	Responsible Author	ity:	
	Vice President for Research &		
	Commercialization Director, Office of Compliance, Office of Research		of

## **DATE OF INITIAL ADOPTION AND EFFECTIVE DATE: 2-18-08**

## APPLICABILITY/ACCOUNTABILITY:

This policy applies to all university <u>faculty</u>, <u>staff</u>, <u>student employees</u>, <u>and affiliates engaged in university sponsored and non-sponsored research</u>.

faculty members, Executive Service employees, postdoctoral associates, Administrative and Professional employees, University Support Personnel System employees, Other Personnel Support employees, and students engaged in both sponsored and non-sponsored research.

## PREAMBLE:

As a part of the University of Central Florida's UCF's academic and research mission, the university encourages its employees to participate in sponsored research, consulting, and other activities that benefit the university, participants, affiliates, and the public at large. In doing so, UCF employees are obligated to act in the best interest of the university and to ensure that outside activities or outside financial interests do not interfere with their obligation to the university. The existence of trust from the public and from the scientific community is paramount to the successful advancement of knowledge and the growth of the university's academic and research programs. In addition to the university's expectation that research be conducted with the highest ethical standards and professional integrity, federal laws and state statutes regulate conflicts of interest and establish related ethical and integrity standards. This policy establishes a process to comply with these regulations and statutes.

#### **BACKGROUND:**

Federal regulations and state statutes require institutions of higher education to bear primary responsibility for employees and affiliates to disclose <u>outside activities</u>, <u>financial interests</u>, and <u>potential conflicts</u> of <u>interests and conflicts of commitment</u>, <u>outside activity</u>, <u>and potential financial conflicts of interest</u>. The university has the responsibility to establish conflict of interest policies and procedures to provide appropriate safeguards to protect the interests of the university and sponsored agencies, and to effectively communicate to faculty, <u>staff</u>, <u>members</u>, <u>employees</u>, students <u>employees</u>, and affiliates the university's conflict of interest and commitment policies and procedures.

#### **POLICY STATEMENT:**

All employees and affiliates engaged in university research must comply with federal regulations, state statutes, and university regulations and policies in regard to disclosing, managing, and reporting outside activities and financial interests. Employees engaged in the design, conduct, or reporting of research are required to disclose financial interests and outside activities and receive a determination by the university that the outside activity or financial interest does not affect the integrity of the university. Outside activities and financial interests must be disclosed annually and throughout the year as circumstances change but no less than 30-days prior to discovering, acquiring, or committing to a new financial interest or outside activity.

Employees are prohibited from directly or indirectly authorizing business transactions related to university sponsored programs or technology transfer with an entity where they hold an employment or contractual relationship, ownership, or other financial interest without an executed Conflict of Interest Exemption under Florida Statutes 112.313(12)(h) approved by the University President and Chair of the University Board of Trustees. Exemptions require full disclosure of the proposed transaction/relationship at least 30-days in advance and must be approved prior to beginning the activity.

Prior to submitting research applications to sponsors, investigators must complete an annual disclosure for the corresponding academic year. Investigators must disclose significant financial interests related to a sponsored research proposal, human subjects research protocol, and institutional animal care and use protocol at the time of application. Additionally, investigators must complete conflict of interest training prior to engaging in research. Training must occur at least once every four years or sooner if an applicable change occurs.

If an affiliate investigator engages in a university research through a subrecipient agreement and does not have a conflict of interest policy that is compliant with federal regulations and the sponsoring terms and conditions require a conflict of interest policy, the investigator is subject to university policy.

University faculty members, Executive Service employees, postdoctoral associates, Administrative and Professional employees, University Support Personnel System employees, Other Personnel Support employees, and affiliates engaged in both sponsored and non-sponsored research, must disclose conflicts of commitment, outside activity, and financial conflicts of interest to designated officials. All university employees (including students) and affiliates planning to participate in or are participating in sponsored and non-sponsored research activity must comply with federal regulations and state statutes in regard to disclosing, managing, and reporting significant financial interests. All employees engaging in research must annually or within 30 days of discovering, acquiring, or committing to a new financial interest or commitment, report potential conflicts of interest or commitment, or the appearance of a conflict. University faculty members, Executive Service employees, postdoctoral associates, Administrative and Professional employees, University Support Personnel System employees, Other Personnel Support employees, and affiliates responsible for the design, conduct, or reporting of research must complete conflict of interest training prior to engaging in research. Training must occur at least once every four years or sooner if an applicable change occurs.

The Office of Research Compliance Office & Commercialization—is charged with oversight of the sponsored research conflict of interest and commitment—program for research—and is responsible for applicable policies, procedures, guidelines, and training to communicate the program requirements. In addition, the Office of Research Compliance Office & Commercialization—is responsible for the review of sponsored research related disclosures and, when applicable, the review and approval of monitoring and management plans.

The University Compliance, Ethics, and Risk Office is charged with the oversight of the university's conflict of interest and commitment program.

## **Noncompliance:**

Failure by an employee to comply with this policy or a conflict of interest management or mitigation plan will result in disciplinary action up to and including termination for just cause. In accordance with state statutes, any employee engaged in the design, conduct, or reporting of research who failed to disclose any outside activity related to the employee's expertise or a financial interest outside the university shall be suspended without pay pending the outcome of an investigation which shall not exceed 60 days. Upon conclusion of the investigation, the university may terminate the contract of the employee.

## **DEFINITIONS:**

**Affiliate**. A compensated or uncompensated subcontractor, sub-recipient, consultant, or other third-party entity performing <u>sponsored</u> research services for the university under a written or verbal agreement.

**Conflict of Commitment**. An employee's devotion of time to activities that adversely affect his or hertheir capability to meet their primary university responsibilities. Examples may include but are not limited to outside employment, *pro bono* or volunteer work, and government service in the public interest.

**Conflict of Interest**. A divergence between an individual's private interests and his or hertheir employment or volunteer obligations to the university such that an independent observer may reasonably question whether the individual's actions or decisions are influenced or determined by considerations other than the best interest of the university.

**Outside Activity or Employment**. Any compensated or uncompensated secondary employment or activity, private practice, private consulting, teaching, research, or other activity that is not part of the employee's assigned duties at the university.

**Financial Conflict of Interest**. A significant financial interest that could directly and significantly affect the design, conduct, or reporting of sponsored and non-sponsored research.

**Financial Interest.** Anything of value other than that provided directly by the university.

**Institutional Responsibilities**. An investigator's professional responsibilities on behalf of the university. The activities outlined in an employee's annual assignment or position description may include administration, teaching, research and creative activities, course preparation, curriculum development, lectures, evaluation of student efforts, academic advising, committee meetings and memberships, service on panels such as university review boards or data and safety monitoring boards, public service to include service on advisory committee's or review panels, and any other activity assigned by the employee's supervisor in accordance with university policies.

**Investigator**. The project director or principal investigator, <u>co-investigator</u>, <u>key personnel</u>, and any other person, regardless of title or position, who is responsible for the design, conduct, or reporting of sponsored and non-sponsored research. The term may include collaborators or consultants who are responsible for the design, conduct, or reporting of sponsored and non-sponsored research.

<u>Monitoring and Manage-ment Plans.</u> Taking action to address a financial conflict of interest, which can include reducing or eliminating the significant financial interest to ensure, to the extent possible, that the design, conduct, and reporting of research will be free from bias or personal financial gain.

Outside Activity. Any compensated or uncompensated secondary employment or activity, such as engaging in private practice, private consulting, teaching, research, volunteering or any other activity performed outside of the university. This definition of outside activity includes, but is not limited to, anything an employee does for an organization or an

individual, other than the university, that is related to the employee's expertise as defined in Section 1012.977, Florida Statutes. Activities such as serving on an editorial board, as an expert witness, visiting scholar, and honorary appointments are all outside activities that must be reported even when those activities are counted as a service assignment.

**Research**. A systematic experiment, study, demonstration, or survey designed to develop or contribute general knowledge (basic research) or specific knowledge (applied research) in all fields by establishing, discovering, developing, elucidating, or confirming engineering, science, medicine, education, mathematics, humanities, and research involving human subjects or animals. The term includes <u>training</u>, <u>public service</u>, <u>and</u> product development to include a diagnostic test or drug.

## **Significant Financial Interest.**

- (1) A financial interest consisting of one or more of the following interests of the investigator (and those of the investigator's spouse and dependent children) that reasonably appears to be related to the investigator's university (institutional) responsibilities.
  - (i) with regard to any publicly traded entity, a significant financial interest exists if the value of any remuneration received from the entity in the 12 months preceding the disclosure and the value of any equity interest or fixed asset value of the entity as of the date of disclosure, when aggregated, equals or exceeds \$5,000;
  - (ii) with regard to any non-publically traded entity, a significant financial interest exists if the value of any remuneration received from the entity in the 12 months preceding the disclosure, when aggregated, equals or exceeds \$5,000 or when the investigator (or the investigator's spouse and dependent children) holds any equity interest (e.g., stock, stock options, or other ownership interest); or (iii) intellectual property rights and interests (e.g., patents, copyrights, trademarks) upon receipt of income related to such rights and interests.
- (2) The occurrence of any reimbursed travel (i.e., that which is paid on behalf of the investigator and not reimbursed to the investigator) related to the investigator's institutional responsibilities. This disclosure requirement does not apply to travel that is reimbursed or sponsored by a federal, state, or local government agency, or is funded through a sponsored contract or grant through the Office of Research-& Commercialization.
- (3) The term significant financial interest does not include the following:
  - (i) salary, royalties, or other remuneration paid by the university,
  - (ii) income from seminars, lectures, or teaching engagements sponsored by a federal, state, or local government agency, an institution of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with the university,
  - (iii) income from service on advisory committees, review panels for a federal, state, or local government agency, institution of higher education, an academic teaching hospital, medical center, or research institute affiliated with the university.

#### PROCEDURE:

## **Annual Disclosure and Amendments:**

Faculty, staff, and student employees engaged in sponsored research must submit an online Potential Outside Activity, Employment, and Conflict of Interest and Commitment Disclosure (AA-21) through the university designated reporting system on an annual basis and throughout the year, submit an Amendment to the disclosure within 30-days of discovering, acquiring, or committing to a new outside activity or financial interest. Disclosures of outside activities and financial interests related to sponsored research are routed to the Office of Research Compliance Office after supervisory review.

The Office of Research Compliance Office will escalate disclosures containing actual or potential conflicts of interest related to sponsored research to the Research Conflict of Interest Committee for review. The Research Conflict of Interest Committee will determine if a management plan or other action is necessary.

<u>University Compliance, Ethics, and Risk conducts the final review of all disclosures containing outside activities and financial interests.</u>

## **Project Specific Financial Interest Disclosure**

Investigators applying for sponsored research or Institutional Review Board (IRB) approval, must complete the project specific Financial Interest Disclosure section with each proposal through the university's designated research enterprise management system. The Office of Research Compliance Office will review the project specific disclosures to determine whether they are considered a significant financial interest requiring review by the Research Conflict of Interest Committee. Financial interests reported in project specific disclosures must also be reported in the online Potential Outside Activity, Employment, and Conflict of Interest and Commitment Disclosure (AA-21) if not previously reported during the annual reporting period. The university considers Investigators to be responsible for the design, conduct and/or reporting of the research and must complete the project specific Financial Interest Disclosure section with each proposal through the university's research enterprise management system.

Faculty, Executive Service employees, and postdoctoral employees participating in or planning to participate in sponsored and non-sponsored research activity must complete the Potential Outside Activity, Employment, and Conflict of Interest and Commitment Disclosure Report (Form AA-21) on an annual basis and within 30 days of discovering, acquiring, or committing to a new financial interest or commitment.

Administrative and Professional employees, University Support Personnel System employees, Other Personnel Support employees, adjunct faculty, students, and affiliates planning to participate in or who are participating in sponsored and non-sponsored research activity must complete the Potential Outside Activity, Employment, and Conflict of Interest and Commitment Report (Form ORC-COI) on an annual basis and within 30 days of discovering, acquiring, or committing to a new financial interest or commitment.

The Office of Research & Commercialization in conjunction with the University Compliance, Ethics, and Risk Office will review disclosures. Disclosures containing actual or potential conflicts of interest will be reviewed by the conflict of interest committee. The conflict of interest committee will determine if a management plan or other action is necessary.

## **Training:**

The Office of Research <u>Compliance Office</u> & <u>Commercialization</u> will provide conflict of interest training modules to investigators. Investigators are required to complete conflict of interest training prior to engaging in <u>sponsored</u> research at least every four years, and within a thirty day period if one or more of the following occur:

- 1) the university revises its conflict of interest policies,
- 2) an investigator is new to the university, and
- 3) the university finds that an investigator is not in compliance with the university's conflict of interest policy and procedures.

## **Reporting Conflict of Interests to Sponsors:**

The Office of Research Compliance Office & Commercialization is responsible for reporting identified financial conflicts of interests held by investigators investigator's significant financial interests to sponsors in accordance with sponsors' regulations and their policies and procedures, to include annual reports, changes to management or mitigation plans, and retrospective reports. Investigators will provide sufficient data to the Office of Research Compliance Office & Commercialization and other designated university officials to report the nature and extent of the financial conflict.

## **Records:**

The Office of Research <u>Compliance Office & Commercialization</u> is responsible for maintaining records relating to all investigator conflict of interest disclosures, the university's review and response to such disclosures, and all actions taken by the university in accordance with its policy and procedures for three years from the date the final expenditure report is submitted to the sponsor.

## **Noncompliance:**

Failure by an investigator to comply with the university's financial conflicts of interest policy or a financial conflict of interest management or mitigation plan will result in disciplinary action up to and including termination for just cause.

#### **Subrecipients and other Affiliates:**

The Office of Research & Commercialization will incorporate for terms for subrecipients (includes affiliates)\_terms that establish whether the financial conflict of interest policy of the university or that of the affiliate's institutions will apply as dictated in federal agency guidelines to the subrecipients' investigators. Subrecipients shall certify as a part of the agreement that their conflict of interest policies adhere to the university's conflict of interest policy.

If the subrecipient does not have a conflict of interest policy that meets or exceeds the university's conflict of interest policy, the subrecipient investigators must be subject to the university's financial conflict of interest policy.

## **Public Accessibility:**

When the Research Conflict of Interest Committee determines a significant financial interest is related to an investigator's Public Health Service (PHS) funded research, determines the significant financial interest is a financial conflict of interest, and the investigator still holds the significant financial interest, the University, through the Office of Research will ensure the following information is publicly accessible by a written response within five business days of a request:

- 1) the researcher's name, title, and research project role,
- 2) the name of the entity in which the significant financial interest is held,
- 3) the nature of the significant financial interest, and
- 4) the approximate dollar value of the significant financial interest (within dollar ranges) or a statement that a value cannot be readily determined.

The university will post the conflict of interest policy and procedure as well as corresponding conflict of interest guidelines on a publically accessible

Web site. When an investigator's significant financial interest is still held by the investigator and the conflict of interest committee determines the significant financial interest is related to the investigators sponsored research, the Office of Research & Commercialization will post the following information on a publically accessible Web site: 1) the investigator's name, title and research project role, 2) the name of the entity in which the significant financial interest is held, 3) the nature of the significant financial interest, and 4) the approximate dollar value of the significant financial interest (within dollar ranges).

#### **RELATED INFORMATION:**

- 1) UCF Regulation 3.018 Conflict of Interest or Commitment; Outside Activity or Employment
- 2) UCF Regulation-4.029 Use of University Facilities; Definition; Priority of Use; Restrictions on Use
- 3) UCF Research Conflict of Interest Committee Charter
- 4) UCF Collective Bargaining Agreement
- 5) UCF Graduate Student Handbook
- 6) UCF College of Medicine Faculty Handbook
- 7) UCF Policy 3-008.2 Employment of Relatives
- 8) National Institutes of Health Grants Policy Statement, Part II, Terms and Conditions of NIH Grant Awards, Subpart A: General, Chapter 4.1.10, and Financial Conflict of Interest
- 9) The National Science Foundation Proposal and Award Policies and Procedures Guide, Chapter IX-Grantee Standards, Part A. Conflict of Interest Policies
- 10) Florida Statutes Title X, Part III Code of Ethics for Public Officers and Employees Chapter 112.313 112.326

- 11) Florida Statutes Title XLVIII Chapter 1012 Section 1012.977
- 12) Department of Health and Human Services 42 CFR Part 50 and 45 CFR Part 94 Final Rule
- 13) Food and Drug Administration Department of Health and Human Services Financial Disclosure by Clinical Investigators 21 CFR, Part 54

#### **RELATED UCF WEBSITES:**

Office of Research - COI

University Ethics, Compliance, Risk Office - Conflict of Interest

## **FORM:**

Potential Outside Activity, Employment, and Conflict of Interest and Commitment Disclosure (AA-21)

- 1) National Institutes of Health Grants Policy Statement, Part II, Terms and Conditions of NIH Grant Awards, Subpart A: General, Chapter 4.1.10, and Financial Conflict of Interest
- 2) National Science Foundation Award Administrative Guide, Chapter IV-Grantee Standards, Part A
- 3) State of Florida Code of Ethics for Public Officers and Employees Florida Statutes, Title X,
- Chapter 112.313 112.326
- 4) UCF Regulation UCF-3.018, Conflict of Interest or Commitment; Outside Activity or Employment

### **RELATED DOCUMENTS:**

- 1) Public Health Service Conflict of Interest Regulations Title 42, CFR Part 50 and 45 CFR Part 94
- 2) National Science Foundation Conflict of Interest Regulations Title 45, Part 680
- 3) Food and Drug Administration Regulations-Financial Disclosure by Clinical Investigators 21 CFR, Part 54
- 4) UCF BOT-UFF Collective Bargaining Agreement
- 5) UCF Golden Rule Student Handbook

## **RELATED UCF WEB SITES:**

http://www.research.ucf.edu/compliance

## http://compliance.ucf.edu/conflict-of-interest/

#### **FORMS:**

- 1) AA21 Potential Outside Activity, Employment, and Conflict of Interest and Commitment Report (faculty, executive staff, and post-doctoral employees)
- 2) ORC-COI Potential Outside Activity, Employment, and Conflict of Interest and Commitment Report (A&P, USPS, OPS (to include adjunct faculty)
- 3) HR-11 Report of Potential Conflict of Interest, Outside Activity and Employment for A&P or USPS Employees
- 4) HR-12 Use of University Personnel, Equipment, Facilities, Students, or Services

**INITIATING AUTHORITY:** Vice President for Research & Commercialization Dean, College of Graduate Studies and Vice President for Compliance and Risk

History: 4-504 4/21/2008; 4-504.1 10/8/2008; 4-504.2 8/20/2012

#### UNIVERSITY OF CENTRAL FLORIDA POTENTIAL OUTSIDE ACTIVITY, EMPLOYMENT, AND CONFLICT OF INTEREST AND COMMITMENT DISCLOSURE (AA-21)

Reporting Period: 08/08/2020 - 08/07/2021

#### Purpose:

The purpose of this disclosure is to ensure that all faculty, executive service, post-doctoral employees, and select individuals identified in university positions of trust, or other employee types engaged in the design, conduct, and reporting of research at UCF have no unresolved conflicts between their primary university commitments and their outside activities, interests, and commitments. This disclosure conforms with Florida Statutes; policies of the Board of Governors (BOG) and the University of Central Florida UCF; provisions of the Board of Trustees-United Faculty of Florida Collective Bargaining Agreement; and current federal guidelines. This disclosure establishes specific facts to help your supervisor and other appropriate university officials determine whether a potential conflict exists so they can manage or eliminate the conflict when possible. If a conflict is identified by your supervisor or other appropriate university officials, you will be notified and the conflict must be resolved.

#### Procedure:

This form must be completed at least annually, regardless of whether or not there are any outside activities, interests, or commitments to report. Failure to disclose the required information in a timely fashion is insubordinate and subject to disciplinary action up to termination of your employment with the university. An amended disclosure form must be submitted at any subsequent point during the reporting period that it becomes necessary to disclose any new or anticipated outside activity, interest, or commitment expected to occur during that reporting period. Timely and complete disclosure of outside activities and potential conflicts of interest and commitment protects you from suspicion and accusations of noncompliance. Information on policies, regulations, and requirements, as well as directions for completing the potential conflicts of interest & commitment form and the review process, is available on the University Compliance, Ethics and Risk Office website. A list of definitions for some of the terms referenced below is available by selecting the linked words. For assistance you may also contact the Potential Conflicts Administration email, <a href="PCA@ucf.edu">PCA@ucf.edu</a>.

NOTE: All questions in this disclosure form refer to activities planned during this reporting period, August 8, 2020 through August 7, 2021. An amended disclosure form must be submitted at any subsequent point during the reporting period to disclose new or anticipated outside activities, interests, or commitments expected to occur during that reporting period. All outside activities must be submitted for review and approval in advance of engaging in the outside activity. For each question answered "Yes", all sub-questions that appear are required and must be answered. Upon answering all sub-questions, use the "Add/Save Response" button to submit your answers to the question. Multiple responses may be submitted to each question.

#### Sponsored and Non-Sponsored Research

week, or month when this activity occurs and how the described

The university promotes objectivity in research by establishing policies and procedures that provide a reasonable expectation that the design, conduct, and reporting of research

will be free from bias resulting from an investigator financial conflict of interest. Questions 1, 2, & 3 apply to individuals engaging in the design, conduct, and/or reporting of UCF research. Will you be engaging in sponsored or nonsponsored research through UCF during this reporting period? Yes (Answer questions 1-3) No Skip to question 4 1. Do you or your immediate family have compensation or equity interest (e.g. stock, ownership interest) in a publicly traded or privately owned entity that reasonably appears to be related to your UCF institutional responsibilities? [Do not report salary or compensation paid by UCF or UCFRF or income from investment vehicles made by UCF on employee's behalf] (New employees should report compensation and/or equity interests received in the last 12 months and during the current reporting period.) Response: O Yes O No Entity Name: Entity Lookup **Party:**  $\bigcirc$  Self  $\bigcirc$  Immediate Family Member  $\bigcirc$  Both Self & Immediate Family Member Self: **Position Type:** President CFO CEO ☐ Dir/Chief Research Officer ☐ Scientific Advisory Board Member Board Member ■ Manager/Officer/Partner Other □ N/A Type of Compensation and/or Equity: Salary Consulting fees Honoraria  $\ \square$  Paid authorship ☐ Equity/Stock (non-publicly traded)  $\hfill \Box$  Other ownership interest ☐ Stock (publicly traded) Will the aggregated value of compensation and/or equity/stock exceed \$5,000?:  $\, igcirc$  Yes  $\, igcirc$  No Will compensation for services be provided by the sponsor of a covered clinical study?:  $\bigcirc$  Yes  $\bigcirc$  No Is or will the amount of compensation exceed \$25,000?:  $\bigcirc$  Yes  $\bigcirc$  No Will the compensation (or interest) be paid for seminars, lectures, teaching engagements, or service on advisory or review panels by a government agency, institution of higher education, academic teaching hospital, medical center, or research institute that is affiliated with an institution of higher education originating in the United States?: O Yes Are you responsible (accountable) for the design, conduct or reporting of sponsored research or research involving human or animal subjects conducted through UCF (e.g. includes but is not limited to role of PI/Co-PI, Program Director)?: ○ Yes ○ No **✓** from Start Date: 08/08/2020 - End Date: 08/07/2021 Hours: Indicate the time(s) of the day,

activity interacts with your UCF assigned duties:					
Describe <u>in detail</u> your role and responsibilities with the <u>entity</u> :					
Immediate Family Member:					
Family Relationship:					
Position Type:	President Board Member Manager/Officer/		CEO Dir/Chief Research Office Other	CFO  Scientific Adv	visory Board Member
Type of Compensation and/or Equi			Consulting fees Equity/Stock (non-public) Other ownership interest	Honoraria y traded)	
Will the aggregated value of compe	ensation and/or equity/	stock exceed \$5,000?	: O Yes O No		
Will the compensation (or interest) or service on advisory or review pa education, academic teaching hosp affiliated with an institution of high					
Is any of your research sponsored or are	you planning to apply	for sponsored researc	th during this reporting p	period?: O Yes O No	
Please describe if the disclosed financial interest is or is not related to your sponsored research. (The financial interest is related to your					
research when your financial interest or the entity's financial interests could be affected by your funded research.):					
Add/Save Response					
2. Will you receive paid or reimbursed trapurpose of the travel relies upon the same				l to your <u>institutional resp</u>	onsibilities (e.g. the
Response: O Yes O No					
Entity Name:	En	<u>ntity Lookup</u>			
Destination:					
Duration of the trip(s) and frequency:					
Describe the purpose of the trip(s) and i relationship to your <u>institutional respons</u>					
Does the reimbursed travel exceed \$5,00 aggregated)?:	00 (when Yes	O No			
Estimated cost of travel:	\$				

Is the travel paid for by a government agency, teaching hospital, medical center, or institution of higher education originating in the United States?:		No			
Are you responsible (accountable) for the design, conduct, or reporting of sponsored research or research involving human or animal subjects conducted through UCF (e.g. includes but is not limited to role of PI/Co-PI, Program Director)?:	O Yes O I	No			
Add/Save Response					
3. Will you or your <u>immediate family</u> receive income previously reported, disclose income over the past				tents, copyrights, trademarks)? (If not	0
Response: O Yes O No					
Entity Name: Entity Lookup					
Party: O Self O Immediate Family Member O Both	h Self & Immediate	Family Member			
Self:					
Identify type of IP:	Patents	☐ Copyrights	☐ Trademark		
Identify the source of IP income (e.g. technology license, royalties from publisher sales, ownership share options):					
Will the income when aggregated exceed \$5,000?:	O Yes O No				
Are you responsible (accountable) for the design, conduct, or reporting of sponsored research or research involving human or animal subjects conducted through UCF (e.g. includes but is not limited to role of PI/Co-PI, Program Director)?:	○ Yes ○ No				
Describe if the intellectual property rights are related to products or processes being used or evaluated in your university research:					
Immediate Family Member:					
Family Member Relationship:					
Identify type of IP:	Patents	Copyrights	☐ Trademark		
Identify the source of IP income (e.g. technology license, royalties from publisher sales, ownership share options):					
Will the income when aggregated exceed	O Yes O No				
\$5,000?:					
Describe if the intellectual property rights are related to products or processes being used or evaluated in your university research:					

Use of UCF Students, Personnel, or Other University Resources (e.g., equipment, facilities, supplies) in Outside Activities

Add/Save Response

Entity Name: Entity Lookup

Add/Save Response

## Other Activities, Interests and Commitments

6. Will you hold or do you ex	pect to run for political office?	0
Response: O Yes O No		
Political Office:		
Describe Political Activity:		
Hours:	✓ from Start Date: 08/08/2020 🗓 - End Date: 08/07/2021	
Indicate the time(s) of the day, week, or month when		
this activity occurs and how the described activity		
interacts with your assigned duties:		
Campaigning Activities:		
Add/Save Response		
7. Do you intend to engage in	n any teaching activity external to UCF (e.g., courses, workshops, lectures, training)?	0
Response: O Yes O No		
Entity Name:	Entity Lookup	
Course/Activity Name:		
Instructional Method:	☐ Face-to-face	
	☐ Web-based ☐ Video streaming	
	Other	
Is this a compensated activity?:	○ Yes ○ No	
Description:		
Upload syllabus:	Choose File No file chosen	
Hours:	✓ from Start Date: 08/08/2020	
Indicate the time(s) of the		
day, week, or month when		

this activity occurs and how:	
Add/Save Response	
computer software, electronic or digital me	ks used in your classroom that you or your <u>immediate family</u> authored or co-authored (e.g., textbook(s), dia) and for which you will receive, or anticipate receiving payment, loan, subscription, advance, deposit of ones your spouse require students to purchase works used in their classroom that you authored or co-authored?
Response: O Yes O No	
Publisher, Distributor or Entity Name:	Entity Lookup
Title and Type of Product:	
Provide ISBN, ASIN, UPC, EAN, or any othe product identification number: If not	ir
available or content requires electronic subscription, indicate all authors/contributors listed on product, UR	L,
edition number, copyright date, published date, and information necessary to identify the product.	r
Describe what you will do with the income. (Royalties and Donation Form required for donations of royalties):	
Upload <u>Royalties and Donation Form</u> (if any	y): Choose File No file chosen
Add/Save Response	
lorida State Conflict of Interest Standa	
transaction or professional activity; or incur any	.12.311) requires that no employee shall have any interest, financial or otherwise, direct or indirect; engage in any business obligation of any nature which is in substantial conflict with the proper discharge of his or her duties in the public interest. In
concert with the <u>Florida Statute</u> please answer	the following Standards of Conduct <u>(FS 112.313)</u> questions:
employment or contractual relationship wit	on officer, partner, director, proprietor, have ownership of more than 5% total assets or capital stock, or hold an the an entity or agency that will (1) sell goods/services to UCF, (2) purchase goods/services from UCF or (3) enter sfer agreement with UCF? You must report proposed sponsored funding (SBIR/STTR) or license agreements with
Response: O Yes O No	
Entity Name: Entity Lookup	
Are you aware of proposed or active spons	ored research or technology transfer agreements between the Entity and UCF?: O Yes O No
Do you or will you engage in sponsored res	
Does or will the Entity license your UCF tec	:hnology?: O Yes O No
Are you directly or indirectly authorizing be	usiness transactions between the entity and UCF?: O Yes O No
Does the <u>Entity</u> sell goods/services to UCF	
Does the <u>Entity</u> purchase goods/services fi	rom UCF?: O Yes O No
Are you an officer, partner, director or pro	prietor of the entity? O Yes O No

Position Held:	
Is your spouse or child an officer, partner, d	irector or proprietor of the entity?: O Yes O No
Position Held:	
Family Relationship:	
Do you or your spouse or child have a mater	ial interest of more than 5% in the Entity?: O Yes O No
Describe material interest:	
Party: O Self O Spouse or Child O Bo	
Family Relationship:	th Self & Spouse or Child
Do you or your spouse or child hold any emp	oloyment or contractual relationship with the <u>entity</u> (compensated or receiving consideration)?: O Yes O No
Describe employment/contractual relatio	
Add/Save Response	
10. Will you perform an outside activity in ex	cess of your assigned UCF responsibilities (e.g., serving as a consultant or contractor, board member, expert
	cess of your assigned UCF responsibilities (e.g., serving as a consultant or contractor, board member, expert increases a point a serving on a review committee, etc.) that you have not already reported in Q1 or Q9?
Response: O Yes O No	
Entity Type: O Agency O College/Department	nt
Describe Activity:	
In the capacity for which you perform this	○ Yes ○ No
activity, will you have any connection back to the university (e.g. you consult or	
contract with an entity also performing services to UCF)?:	
	Describe how
	the activity relates to UCF:
Upload supporting documentation (if any):	Choose File No file chosen
Is this a compensated activity?:	○ Yes ○ No
Hours: v from St	art Date: 08/08/2020
Indicate the time(s) of the day, week, or month when this activity occurs and how	
the described activity interacts with your assigned duties:	
Sponsoring your UCF research: ○ Yes ○ N	

Intellectual property rights:  $\bigcirc$  Yes  $\bigcirc$  No

Is	the IP owned by UCF?: O Yes O No	
License agreement: ○ Yes ○ No		
Are you an officer, partner, director or proprieto	or of the entity? O Yes O No	
	sition Held:	
	rtner, director or proprietor of the entity?: O Yes O No	
	osition Held:	
	amily Relationship:	
Do you or your <u>immediate family</u> have a materia	al interest?: O Yes O No	
Pa	rty: O Self O Immediate Family Member O Both Self & Immediate Family Member mily Relationship:	
	pyment or contractual relationship with the entity?: O Yes O No	
De	escribe contractual relationship:	
	rty: O Self O Immediate Family Member O Both Self & Immediate Family Member mily Relationship:	
Add/Save Response  11. Are any of your <u>relatives</u> employed by, or pla	in to work for UCF?	A
		~
Response: O Yes O No		
First Name: Last Name:		
Family Relationship:		
UCF Department where the <u>relative</u> works or intends to work:	<u>.ookup</u>	
Is <u>relative</u> currently employed with UCF?: O Ye	es O No	
UCF email address:		
Does or will the <u>relative</u> work in the same unit,	department, or college?: O Yes O No	
Upload Employmen	t of Relatives form: Choose File No file chosen	
Does or will a direct or indirect <u>supervisory relation</u>	TIONSHIP EXIST?: U YES U NO	
Add/Save Response		
12. Are any of the activities disclosed in Q1-Q10 disclosed?	above with a <u>foreign entity</u> or do you have any other activities with a <u>foreign entity</u> that you have not	

Response: O Yes O No

Entity Name:	Entity Lookup
Name the country of origin:	
Check if you expect to receive any of the following from the <u>foreign entity</u> in the next 12 months (select all applicable):	Gift Donation Compensated travel (domestic and/or international) Remuneration for services rendered (research or academic) Compensation for transfer of knowledge and/or expertise
Describe the purpose of each item checked above:	
Do you have any patents/copyrights (domestic or international) managed by the <u>foreign entity</u> ?:	○ Yes ○ No
Are you part of a foreign government talent program? (Such programs include any foreign-state-sponsored attempt to acquire U.S. scientific-funded research or technology through foreign government-run or funded recruitment programs):  Add/Save Response	○ Yes ○ No

PRINT Name

Date

## POTENTIAL OUTSIDE ACTIVITY, EMPLOYMENT, AND CONFLICT OF INTEREST AND COMMITMENT DISCLOSURE (AA-21)

## **Sponsored and Non-Sponsored Research**

1. Do you (investigator or your immediate family) have one or more of the following financial interests that reasonably appears to be related to your UCF institutional responsibilities: (1) compensation exceeding \$5,000 from an entity, (2) aggregate of both compensation and equity interest exceeding \$5,000 in a publicly traded entity, or (3) any equity interest in a privately owned entity? [See reporting exclusions] (New employees should report compensation and/or equity interests received in the last 12 months and during the current reporting period.)

## **PCR Reviewer Criteria for Question 1**



#### **Compensation and/or Equity Interest Reporting Exclusions**

Do not report any of the following:

- salary, royalties, intellectual property rights, or other compensation paid by UCF and/or the UCF Research Foundation.
- income from investment vehicles, such as mutual funds and retirement account contributions made by UCF on your behalf.
- income from seminars, lectures, teaching engagements, and advisory committees or review
  panels sponsored by a federal, state or local government agency, an institution of higher
  education, an academic teaching hospital, a medical center, or a research institute that is
  affiliated with an institution of higher education.

If responding "yes" to this question, please provide the information requested.

#### Federal Conflict of Interest Criteria

A potential conflict of interest exists when an employee's Significant Financial Interest (anything of monetary value including salary, equity interests, and/or intellectual property rights) could directly and significantly affect the design, conduct or reporting of the research. (See <u>Department of Health and Human Services CFR Part 50, 45 CFR Part 94 Final Rule, Financial Disclosure by Clinical Investigators 21 CFR, Chapter 1, Subchapter A, and 54.1-6 National Science Foundation Award and Administration Guide Chapter IV. Grantee Standards A. Conflict of Interest Policies).</u>

Under sponsored federal programs the potential conflict is between the investigator's personal financial interests and their ability to perform objective research.

Visit the University Compliance, Ethics, and Risk website for a complete list of <u>policies, regulations, and requirements</u>.

2. Will you receive paid or reimbursed travel from an outside entity that exceeds \$5,000 (when aggregated) that could reasonably appear to be related to your institutional responsibilities (e.g. the purpose of the travel relies upon the same expertise used to carry out your institutional responsibilities)? This does not include travel paid for by government agencies, teaching hospitals,

## **PCR Reviewer Criteria for Question 2**

Х

#### **Travel Reporting Exclusions**

Do not report any of the following:

- travel costs, that when aggregated per entity, is less than \$5,000
- travel reimbursed to you under a sponsored project (i.e., paid by a research sponsor through UCF).
- travel paid directly to you and/or on your behalf by a federal, state or local government agency, an institute of higher education, academic teaching hospital, or a medical center or research institute that is affiliated with an institution of higher education.

If responding "yes" to this question, please provide the information requested.

#### Federal Conflict of Interest Criteria

A potential conflict of interest exists when an employee's Significant Financial Interest (anything of monetary value including salary, equity interests, and/or intellectual property rights) could directly and significantly affect the design, conduct or reporting of the research. (See <u>Department of Health and Human Services CFR Part 50, 45 CFR Part 94 Final Rule, Financial Disclosure by Clinical Investigators 21 CFR, Chapter 1, Subchapter A, and 54.1-6 National Science Foundation Award and Administration Guide Chapter IV. Grantee Standards A. Conflict of Interest Policies).</u>

Under sponsored federal programs the potential conflict is between the investigator's personal financial interests and their ability to perform objective research.

Visit the University Compliance, Ethics, and Risk website for a complete list of **policies**, **regulations**, **and requirements**.

3. Will you or your immediate family receive income related to non-UCF intellectual property rights (e.g., patents, copyrights, trademarks), that when aggregated exceeds \$5,000? (If not previously reported, disclose income exceeding \$5,000 over the past 12 months.) [See reporting exclusions]

## **PCR Reviewer Criteria for Question 3**



#### **Intellectual Property Rights Exclusions**

Do not report any of the following:

- royalties paid through UCF and/or the UCF Research Foundation.
- compensation paid through UCF and/or the UCF Research Foundation for the value of intellectual property rights assigned to UCF related to your intellectual property.
- compensation paid through UCF and/or the UCF Research Foundation for the value of royalty sharing agreements between you and UCF related to your intellectual property.

If responding "yes" to this question, please provide the information requested.

#### Federal Conflict of Interest Criteria

A potential conflict of interest exists when an employee's Significant Financial Interest (anything of monetary value including salary, equity interests, and/or intellectual property rights) could directly and significantly affect the design, conduct or reporting of the research. (See <u>Department of Health and Human Services CFR Part 50, 45 CFR Part 94 Final Rule, Financial Disclosure by Clinical Investigators 21 CFR, Chapter 1, Subchapter A, and <u>54.1-6 National Science Foundation Award and Administration Guide Chapter IV. Grantee Standards A. Conflict of Interest Policies</u>).</u>

Under sponsored federal programs the potential conflict is between the investigator's personal financial interests and their ability to perform objective research.

Visit the University Compliance, Ethics, and Risk website for a complete list of **policies**, **regulations**, **and requirements**.

## <u>Use of UCF Students, Personnel, or Other University Resources (e.g., equipment, facilities, supplies) in</u> Outside Activities

4. Do you or an immediate family member intend to use the services of UCF students or personnel for whom you have supervisory or evaluative responsibilities at UCF to carry out an outside activity?

## **PCR Reviewer Criteria for Question 4**

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If responding "yes" to this question, you must disclose the information requested and work with your supervisor and other appropriate university officials to manage or eliminate the conflict.

Example of potential conflicts of interest:

- requiring a student or staff member for which you have supervisory or evaluative responsibilities at UCF to work for you at your home or for a company you own (conflict of interest)
- the student or staff member devoting so much time on an outside activity that it interferes with his or her UCF responsibilities (conflict of commitment)
- 5. Do you intend to use UCF resources (e.g., equipment, facilities, supplies) or services (including information technology resources) in carrying out any outside activity?

## **PCR Reviewer Criteria for Question 5**



If responding "yes" to this question, please provide the information requested. Be specific in identifying the location of the resource (e.g., the specific location of lab including building facility and room number). Your anticipated use of the UCF resource or service should include the frequency of use. It is also important to provide a copy of any lease agreement or other agreement in place if the use is related to a non-UCF entity.

Examples of potential conflicts of interest:

- using your UCF computer to develop a product you later sell, such as a non-academic book, or development of a website for your personal company to promote products and services
- using UCF facilities to teach courses for which you are privately compensated, e.g., prep for LSAT, GMAT, GRE

## **Other Activities, Interests and Commitments**

6. Will you hold or do you expect to run for political office?

## **PCR Reviewer Criteria for Question 6**

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If responding "yes" to this question, please provide the information requested.

7. Do you intend to engage in any teaching activity external to UCF (e.g., courses, workshops, lectures, training)?

## **PCR Reviewer Criteria for Question 7**



If responding "yes" to this question, please provide the information requested. If the outside teaching is a compensated activity, and conflicts with UCF responsibilities/time required to be at UCF, please explain in the Description section how the potential conflict will be addressed (such as taking annual leave, etc.)

8. Do you require students to purchase works used in your classroom that you or your immediate family authored or co-authored (e.g., textbook(s), computer software, electronic or digital media) and for which you will receive, or anticipate receiving payment, loan, subscription, advance, deposit of money, service, or anything of value? Or, does your spouse require students to purchase works used in their classroom that you authored or co-authored?

## **PCR Reviewer Criteria for Question 8**



The practice of collecting royalties or other compensation on intellectual property that you require students enrolled in your own course to purchase is a conflict of interest. UCF employees must report the use of their materials under these circumstances and take action to mitigate the conflict of interest created. Possible mitigation efforts include offering the materials to UCF students at no cost, declining royalties from the publisher, donating the royalties paid by UCF students, etc. When opting to donate royalties, UCF employees will complete a Royalties and Donation Form in its entirety and submit it, along with the required verification documentation (such as cancelled checks showing the donation), with this disclosure form.

If responding "yes" to this question, please provide the information requested. When describing what you will do with the income, be specific as to whether you will donate all of the royalties or other compensation (if donating, you will complete and attach the Royalties and Donation Form). If other, please specify.

#### Florida State Conflict of Interest Standards of Conduct

Florida State conflict of interest statutes (FS 112.311) requires that no employee shall have any interest, financial or otherwise, direct or indirect; engage in any business transaction or professional activity; or incur any obligation of any nature which is in substantial conflict with the proper discharge of his or her duties in the public interest. In concert with the Florida Statute please answer the following Standards of Conduct (FS 112.313) questions:

9. Do you or your spouse or child serve as an officer, partner, director, proprietor, have ownership of more than 5% total assets or capital stock, or hold an employment or contractual relationship with an entity or agency that will (1) sell goods/services to UCF, (2) purchase goods/services from UCF or (3) enter into a research contract or technology transfer agreement with UCF? You must report proposed sponsored funding (SBIR/STTR) or license agreements with the entity.

## PCR Reviewer Criteria for Question 9

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In Question 9, indirectly means through the use of UCF resources i.e., personnel, materials & supplies, equipment, facilities, departmental or sponsored program funds, or intellectual property licensing agreements.

If responding "yes" to this question, be sure to provide all of the information requested.

Example of a conflict of interest:

- Using your UCF position to send business to a company that you (or your immediate family) has ownership in, or serves as an officer, director, or other managerial position.
- 10. Will you perform an outside activity in excess of your assigned UCF responsibilities (e.g., serving as a consultant or contractor, board member, expert witness, company officer, etc.) that you have not already reported in Q1 or Q9?

#### **PCR Reviewer Criteria for Question 10**

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All outside activities must be submitted for review and approval in advance of engaging in the activity. Please be sure to provide all of the information requested, and provide any supporting documentation.

## **PCR Reviewer Criteria for Question 11**

Please be sure to read the definition of a Relative, which is different from immediate family member. Relative, as defined by UCF Policy 3-008.1 Employment of Relatives:

#### Relative

A relative is anyone related to an employee in the following ways, and includes those within these categories who are referred to as adopted, step-, foster, grand-, half-, in-law, or great-:

- Parent
- Child
- Sibling
- Uncle or aunt
- First cousin
- Nephew or niece
- Spouse, domestic partner, significant other

Persons who intend to marry or with whom the employee intends to form a domestic partnership or other intimate relationship are included in this definition of relative.

If responding "yes" to this question, be sure to provide all of the information requested.

If there is a direct or indirect supervisory relationship and you are not sure if there is an Employment of Relatives form on file, please contact PCA@ucf.edu for assistance.

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