



Office of Research Integrity and Compliance

# Compliance Connection

January 2023

The **Office of Research Integrity and Compliance (ORIC)** is responsible for regulatory compliance related to a number of research and non-research areas. These include conflicts of interest, export controls and customs, responsible conduct of research, and research misconduct. This inaugural newsletter, and those that follow on a quarterly basis, will serve an outreach function that we hope will be helpful in navigating some of the many regulatory requirements associated with these areas.

## Conflicts of Interest

### Annual Disclosures

Annual Conflicts of Interest (COI) disclosures are required of all EHRA employees, regardless of employment status. The deadline for submission is April 30th. However, we will be more than happy to receive your annual disclosure any time prior to that date.



Disclosures only take a few minutes to complete, so you can help us out **and** limit the number of emails in your inbox from us by completing your disclosure sooner rather than later.

Click [here](#) for the link to COI Risk Manager.

### Project Specific Disclosures

The PI and all named personnel on the proposal (excluding undergraduate students) who will receive compensation from an externally sponsored grant or contract are required to submit a Project Specific COI Disclosure (PSD) at time of proposal submission. The requirement to complete a PSD extends to all project category types and all external sponsors.

For instructions on submitting a PSD, please click [here](#).

### Notice of Intent Submissions

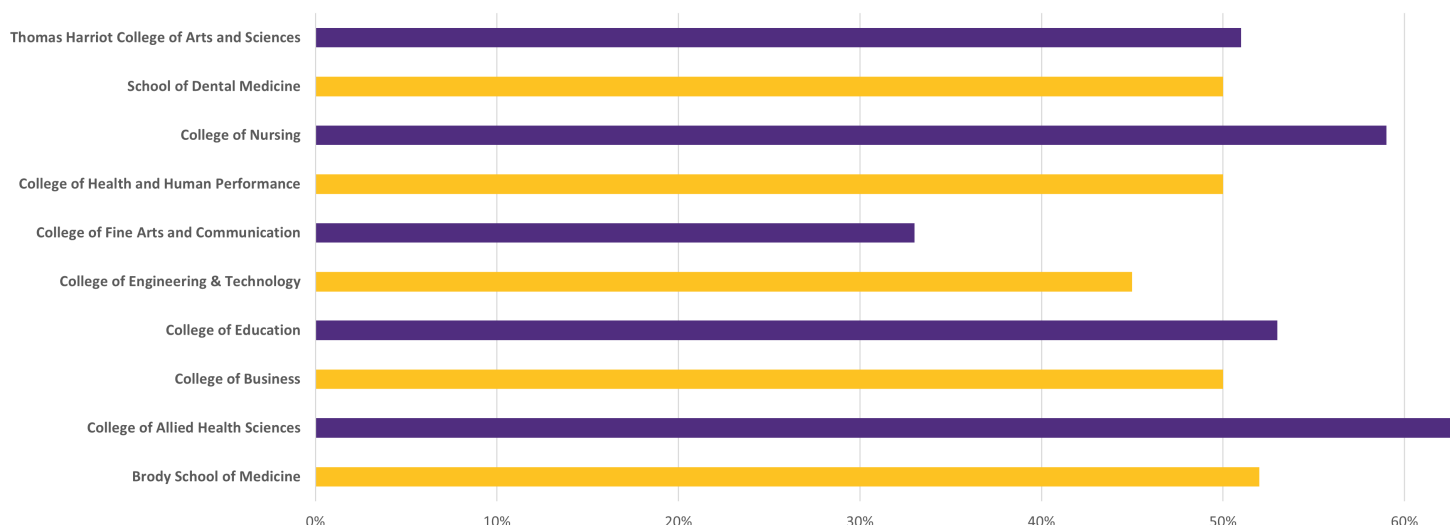
To engage in an external professional activity for pay, EHRA employees must submit a Notice of Intent (NOI) no fewer than ten (10) days prior to engaging in the proposed activity. NOIs are routed to an employee's direct supervisor for approval. Supervisors will receive an email on the appropriate review process.

To submit a Notice of Intent, click [here](#).

## Annual COI Disclosure Rates by College

Below is a graph that shows the current completed disclosure rates by college as of December 31, 2022. Kudos to the College of Allied Health Science with over 60% of its personnel having completed an annual COI disclosure! Way to go!

Total Annual Disclosures Submitted by Colleges



## Export Controls

An export control may apply to many activities in which faculty and staff regularly engage. Common examples include, but aren't limited to, the following:

- International travel to meet or conduct research with collaborators of non-U.S. universities
- Returning from international travel with items or research specimens
- Research agreements or collaborations with non-U.S. companies
- Working or conducting research in ECU offices or laboratories containing export-controlled information, materials, or equipment
- Shipping items to foreign project sponsors, collaborators, or repair centers

In addition to export controls, U.S. sanctions may impact some faculty. For example, providing certain instructional services, such as may be common for adjunct faculty or guest lecturers, at an institution in a country to which a U.S. sanction exists, might be restricted or prohibited altogether. *The most notable restrictions and prohibitions apply to Cuba, Iran, North Korea, and Syria.* More information is available on our [website](#). Please consult with us if you have any doubts.

**Note:** These restrictions and prohibitions do NOT apply to faculty who simply are teaching or advising ECU students who are from any of these countries when those students are on campus or attending classes remotely from their local residences.

As faculty build their research networks, ORIC encourages faculty members to contact us for guidance when engaging in new international collaborations. While most research endeavors conducted at ECU and other UNC System institutions require no special authorizations, we welcome the opportunity to provide input in the context of your specific project. Email us at [ECUExportControls@ecu.edu](mailto:ECUExportControls@ecu.edu) or call Anthony Rowe at (252) 744-2395.

# Responsible Conduct of Research

ORIC is pleased to have returned to in-person Responsible Conduct of Research (RCR) training for our postdoctoral scholars. To better serve our postdoctoral scholars and RCR instructors, we have instituted a new format with training provided once per semester over two half-day sessions.



Each RCR topic is facilitated by an expert faculty or staff member with an emphasis placed on real-life examples and case study discussions where applicable. This RCR training program also fulfills the training requirement for graduate students placed on an NIH/NSF-funded project. Please email Tammy Drapeaux ([drapeauxt22@ecu.edu](mailto:drapeauxt22@ecu.edu)) to schedule your graduate student for training or for [ADA accommodations](#).

# Research Misconduct

If you suspect research misconduct (**falsification, fabrication, or plagiarism**) in the reporting of research results or in research proposal submissions, immediately and confidentially report your concern to the Research Integrity Officer (RIO), Deb Elek. To protect the person reporting and the person suspected of alleged misconduct, no one else should be alerted. You may even provide the RIO with a hypothetical scenario to get a better understanding of whether or not something falls under the definition of research misconduct and should be reported.



## RCR Training Dates

Friday, March 24  
Spring Session 1

Friday, April 14  
Spring Session 2

## RCR Training Topics

### Session 1

- Research Misconduct
- Data Acquisition & Sharing
- Conflicts of Interest/Foreign Influence
- Safety in Research Facilities

### Session 2

- Mentor-Mentee Relationships
- Collaborative Science
- Publication Practices & Responsible Authorship
- Peer Review
- Research Involving Human Subjects & Materials
- Research Involving Vertebrate Animals

## [RCR Training Agenda](#)

## Contact Us

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## ORIC Team

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