Faculty Training Session
Dartmouth College
Research Conflict of Interest System

Fall 2010
Brief Introduction

Background of new system
- Approved by CSA 2009
- Developed with internal Dartmouth resources from Admin Computing, OSP, Provost Office, many testers including faculty and grant managers
- Significant feedback from COIC, Office of General Counsel

Goals
- Move to an electronic process, eliminate paper
- Assure compliance with College policy and regulations
- Allow each Dartmouth faculty the ability to enter their own information for each project
- Alleviate the PI having to certify for everyone listed on a proposal
Special Features

- Easy, quick interface for most faculty who will check “no”
- Ability for faculty to view submitted information at any time
- Web portal
- Security, use Dartmouth id and password
- Information submitted viewed by a very limited number of Administrators
- Ability to modify questions as new policies may develop
- On-line record of date submitted and by whom
Enter the system using your Dartmouth login
Please enter your Dartmouth username and password.

You have requested access to a site that requires Dartmouth authentication. This is not a public network and explicit authentication is required.

**Note:** For security reasons, please Log Out and Exit your web browser when you are done accessing services that require authentication!

Username: JillMortali
Password: ********

Realm/Location: AutoDetect

Need Help Logging In?

- Warn me before logging me into other sites.

LOGIN  CLEAR
Confirms you are you

Select the proposal by clicking here

Note: You will not see awards or older proposals at this time

You can review previous reports since system go live (Note we are not converting paper records)
This is the proposal that you selected

Once you select a proposal, you will arrive at this screen to answer 2 questions.

Answer the 2 questions and click save.
Research Project Information

<table>
<thead>
<tr>
<th>Project No.</th>
<th>Project Title</th>
<th>Principal Investigator</th>
<th>Sponsor</th>
<th>Sponsor Submission Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>21385</td>
<td>Test for Dept Demo 1</td>
<td>Bankert, Elizabeth</td>
<td>National Institutes of Health</td>
<td>01/01/2011</td>
</tr>
</tbody>
</table>

**Question 1:**

**MANAGEMENT POSITION WITH SPONSOR:**
Are you (or your spouse or your dependent children) a director, officer, partner, employee or agent of, or hold any position of management with the sponsor of this project? If yes, describe the position:

○ Yes ○ No

**INCLUDE:**
- Position with the sponsor (profit or non-profit) of the sponsored research.
- Position with the Dept. of Veterans Affairs when the Dept of VA is also sponsoring the proposed research.

**DO NOT INCLUDE:**
- Service on advisory committees or review panels for governmental or non-profit entities (e.g. NSF review panels, NIH study sections, or similar review-related activity).

**Question 2:**

**SIGNIFICANT FINANCIAL INTEREST:** **
Do you (or your spouse or dependent children) have a Significant Financial Interest that would reasonably appear to affect or be affected by this project?

○ Yes ○ No ** More about Significant Financial Interest

**INCLUDE:**
- Income:
  - If > $10,000 in past 12 months or if > $10,000 in next 12 months.
  - Include payment from the Dept of Veterans Affairs if the Dept of VA is also sponsoring the proposed research.

- Investment:
  - If ownership interest owned >10% or 5% of total value of the company.
If you answer “no” to both questions, you are done!
Your responses are always available on your dashboard.

<table>
<thead>
<tr>
<th>Disclosure Id</th>
<th>Project No.</th>
<th>Project Title</th>
<th>Principal Investigator</th>
<th>Sponsor</th>
<th>Disclosure Creation Date</th>
<th>Last Modified Date</th>
<th>My Disclosure Status</th>
<th>Action</th>
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<td>-</td>
<td>Complete</td>
<td>View Disclosure</td>
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<tr>
<td>21385</td>
<td>Test for Dept Demo 2</td>
<td>Mortali, Jill</td>
<td>National Institutes of Health</td>
<td>01/01/2011</td>
<td>Pending</td>
<td>Never Submitted</td>
<td>Create New Disclosure</td>
<td></td>
</tr>
<tr>
<td>21386</td>
<td></td>
<td></td>
<td></td>
<td></td>
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My Disclosures - In Progress
There are no disclosures in "In Progress" state.

My Disclosures - Completed

No announcements exist at this time.

Jill M. Mortali  Dartmouth College Conflict of Interest System
Here are your previous responses
What happens if I have a financial interest related to my proposal?

**Question 1:**

**MANAGEMENT POSITION WITH SPONSOR:**
Are you (or your spouse or your dependent children) a director, officer, partner, employee or agent of, or hold any position of management with the sponsor of this project? If yes, describe the position:

- Yes  ○ No

If yes, describe the position

I am the President of J. Jill Inc. who is also the sponsor of this project.

**Answer Yes**

**Question 2:**

**SIGNIFICANT FINANCIAL INTEREST:** **
Do you (or your spouse or dependent children) have a Significant Financial Interest that would reasonably appear to affect or be affected by this project?

- Yes  ○ No  ** More about Significant Financial Interest

**Answer Yes**

**INCLUDE:**
- Position with the sponsor (profit or non-profit) of the sponsored research.
- Position with the Dept. of Veterans Affairs when the Dept of VA is also sponsoring the proposed research.

**DO NOT INCLUDE:**
- Service on advisory committees or review panels for governmental or non-profit entities (e.g. NSF review panels, NIH study sections, or similar review-related activity).

**INCLUDE:**
- Income:
  - If > $10,000 in past 12 months or if > $10,000 in next 12 months.
  - Include payment from the Dept of Veterans Affairs if the Dept of VA is also sponsoring the proposed research.
You have a financial interest, so click here to tell us about it.
Enter name of company or organization
You have a financial interest in a company, related to this proposal, now complete the questionnaire.

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You have arrived at this page because you indicated a financial interest related to your project. To complete the disclosure, you need to submit a questionnaire for each financial interest related to this project. A disclosure questionnaire is a detailed description of a financial interest derived from a financial entity.

Complete a questionnaire for the entity in which you have a financial interest. If you do not see the entity below, create a new financial entity record.

### Complete New Financial Entity Questionnaire(s) for this disclosure

<table>
<thead>
<tr>
<th>Entity Name</th>
<th>Entity Description</th>
<th>Complete New Questionnaire</th>
<th>Copy Existing Questionnaire</th>
</tr>
</thead>
<tbody>
<tr>
<td>J. Jill Inc.</td>
<td>The J. Jill Group, Inc. is an upscale specialty marketer of women's apparel, accessories, and gifts under the J. Jill brand,</td>
<td>Complete New Questionnaire</td>
<td></td>
</tr>
</tbody>
</table>
There are a series of questions that you need to answer if you answered yes. These questions relate to a specific company or organization.

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</table>

Describe your financial interest related to this project and the entity listed below.

J. Jill Inc.

1. MANAGEMENT POSITION: Are you (or your spouse or dependent children) a director, officer, partner, employee or agent of, or held any position of management with the entity listed above? If yes, you must specify position:
   - Yes
   - No

   Position (4000 character limit)
   
   I am the President, Chief Operating Officer, Chairman of the Board......

2. INCOME: Have you, your spouse, or dependent children received $10,000 or more in combined income in the last 12 months from the entity listed above? If yes, you must specify amount and nature of relationship:
   - Yes
   - No

   Amount and Nature of relationship (4000 character limit)
   
   I received $75,000 in 2009 in salary

3. ANTICIPATED INCOME: Do you, your spouse, or dependent children anticipate receiving combined income of $10,000 or more in the next 12 months from the entity listed above? If yes, you must specify amount:
   - Yes
   - No

   Amount (4000 character limit)
   
   I anticipate receiving $75,000 in salary
4. INVESTMENT: Do you, your spouse and/or dependent children have an interest or hold equity (ownership interest, stock or stock options) which exceeds $10,000 in monetary value or 5% of the total value of the company? If yes, you must describe interest or equity amounts:

<table>
<thead>
<tr>
<th>Interest or Equity Amounts (4000 character limit)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
</tr>
<tr>
<td>I own 5% of the company</td>
</tr>
</tbody>
</table>

5. INTELLECTUAL PROPERTY: Does the entity listed above hold rights to a pending patent application, issued patent, or license to an invention or other intellectual property which you, your spouse or dependent children have developed? If yes, you must provide further information related to patent or license:

<table>
<thead>
<tr>
<th>Information related to Patent or License (4000 character limit)</th>
</tr>
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<tbody>
<tr>
<td>Yes</td>
</tr>
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6. Is the entity listed above proposed as a subgrantee contractor, collaborator or otherwise involved in the proposed project? If yes, you must provide further information:

<table>
<thead>
<tr>
<th>Further information (4000 character limit)</th>
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<tbody>
<tr>
<td>Yes</td>
</tr>
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7. OUTSIDE EMPLOYMENT OF STUDENTS AND STAFF: Are Dartmouth research team members, including faculty, students and staff, also employed by this entity? Do not include salary funding awarded to the College. If yes, you must provide further information:

<table>
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<th>Further information (4000 character limit)</th>
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<tbody>
<tr>
<td>Yes</td>
</tr>
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8. Are there any circumstances not identified above that you believe may create an actual or perceived conflict with regard to this research project? If yes, you must provide further information:

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<td>Yes</td>
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7. OUTSIDE EMPLOYMENT OF STUDENTS AND STAFF: Are Dartmouth research team members, including faculty, students and staff, also employed by this entity? Do not include salary funding awarded to the College. If yes, you must provide further information:

- Yes
- No

Further Information (4000 character limit)

8. Are there any circumstances not identified above that you believe may create an actual or perceived conflict with regard to this research project? If yes, you must provide further information:

- Yes
- No

Further Information (4000 character limit)

9. Describe how any financial interest disclosed above may affect or appear to be affected by the design, conduct, or reporting of the research:

I will serve as a co-investigator responsible for x, y and z......

Further Information (4000 character limit)

10. What plans or actions do you think should be considered to manage, reduce or eliminate the conflict?

I will not be involved in enrolling research subjects......

Further Information (4000 character limit)

If you answer yes to any question, you must complete the text box.

Click Submit when you are done.
Dartmouth College Research Conflict of Interest System

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The Financial Interest questionnaire that you submitted for this project has been saved. Please choose one of the following options.

- **Review and Confirm responses now.** This step is mandatory to complete the disclosure.
- **Complete another financial interest questionnaire for this project now**
- **Logout now, review and confirm responses at a later time**

Questions?

Policy questions/ comments: Email: rcol@dartmouth.edu

Technical questions: Email: help@dartmouth.edu

Jill M. Mortali

Dartmouth College Research Conflict of Interest System

You are almost done, but you need to review and confirm
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### Disclosure Details

**Questions**

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<th>Explanation</th>
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<td>Yes</td>
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<tr>
<td>Yes</td>
<td>-</td>
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### Financial Interest Questionnaire(s) for this disclosure

<table>
<thead>
<tr>
<th>Entity Name</th>
<th>Questionnaire Completion Date</th>
<th>Status</th>
<th>View Questionnaires</th>
<th>Edit Questionnaires</th>
</tr>
</thead>
<tbody>
<tr>
<td>J. Jill Inc.</td>
<td>10/14/2010</td>
<td>Incomplete</td>
<td>View Questionnaire</td>
<td>Edit Questionnaire</td>
</tr>
</tbody>
</table>

### Confirm

Please click one of the "Confirm" buttons to indicate that you have completed your disclosure for this project. After you click either "Confirm" button you will not be able to make changes to your disclosure.

- Confirm and Return to Dashboard
- Confirm and Logout
- Cancel
Once again, your responses will be stored
Next Steps

✓ Communication to faculty
  ✓ Department meetings
  ✓ Open sessions
  ✓ Grant Manager training/outreach
  ✓ News bulletins

✓ Rollout
  ✓ Begin using for proposals submitted on or after December 1
  ✓ Mandatory prior to proposal submission January 1, 2011

✓ Enhancements
  ✓ Incorporate awards for updating financial interests
  ✓ Long term: select an integrated proposal, IRB and COI system