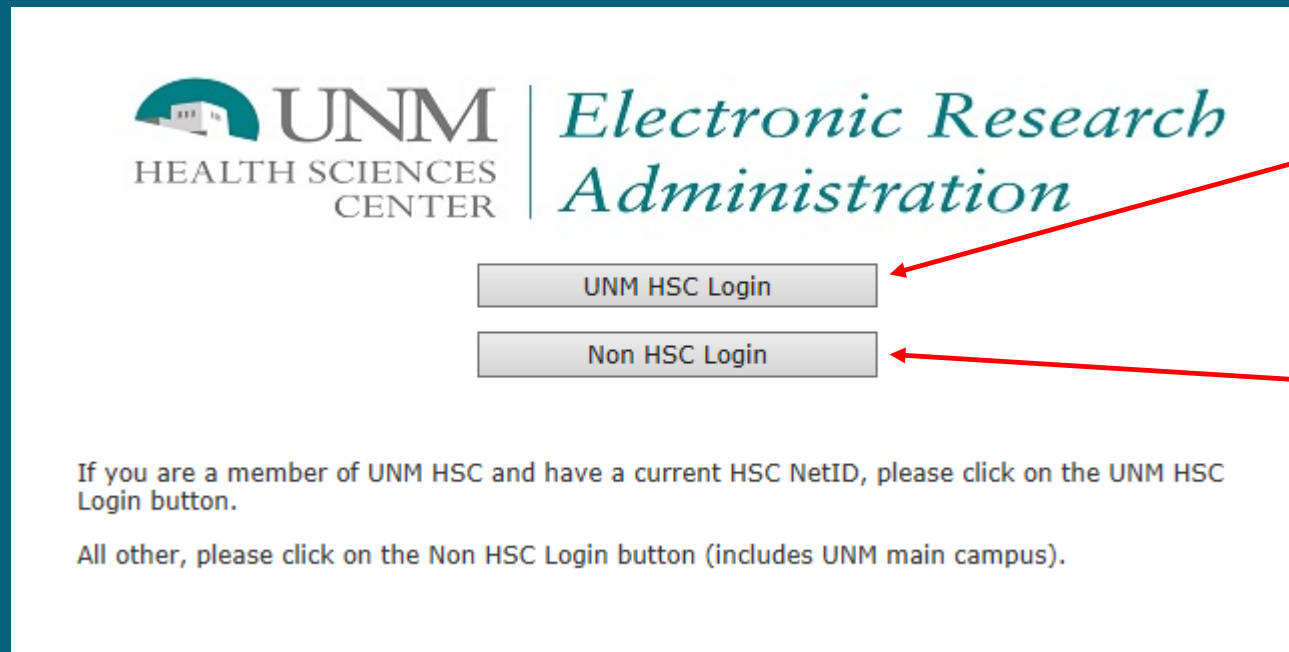


# Electronic Research Administration: COI Disclosures “Click COI”

HSC 001

The ERA (Click COI) system is designed for you to complete your electronic Conflicts of Interest disclosure (“certification”) when you have been added as personnel to a funding proposal or compliance study submission. When you go to <https://era.health.unm.edu>, you will see the login page. If you are an HSC employee/faculty/student (@salud email), you will click the “UNM HSC Login” button. UNM main campus (@unm email) or outside of the university users, will click the “Non HSC Login” button.



HSC users login with the HSC net ID and password used to login to HSC computers or email. Access to the system occurs after you complete all required COI training and submit the account request form. You will be notified by email when your account has been activated.

UNM main campus and non UNM users will login via the second button. Access to the system occurs after you complete all required COI training and the account request form. You will receive your username and password in an email.

This is the workspace you will see after you login and click the **COI tab**. Your COI Certification is listed and it is an active link. If this area is blank, you have no Certifications needing your attention. Certifications to be completed will be in **draft** status.

The COI tab shows every disclosure pending and completed.

Link to your certification record.

“My Home” will only show disclosures in draft status and those requiring a response from you.

The screenshot displays the UNM Electronic Research Administration interface. At the top left is the logo for UNM Health Sciences Center. The navigation bar includes 'Home' and 'COI' tabs. Below the navigation bar, there is a 'COI Reports' section with a 'Create My Certification' button. A table displays a single certification record for Rick Grimes with a status of 'Draft'. Red arrows point from text annotations to the 'COI' tab, the 'Create My Certification' button, the certification record link, and the 'Draft' status.

ID	Name	First Name	Last Name	Type	Status
DC00005671	HSC-COI Initiated Certification for Rick Grimes: 17-996	Rick	Grimes	Research Initiated Update	Draft

**DO NOT** “Create My Certification”. A disclosure done this way will not be associated with any proposal/protocol.

This is the workspace you will see when you click the active link for your Certification.

You will need to click the **Edit** button in order to complete your electronic COI certification.

Note that the current state of your certification is in **Draft** status, meaning you have not completed and submitted your disclosure.

The screenshot displays the UNM Health Sciences Center Electronic Research Administration interface. At the top right, the user is identified as Rick Grimes, with links for 'My Home' and 'Logoff'. The main navigation bar includes 'Home' and 'COI'. The current page is titled 'COI > HSC-COI Initiated Certification for Rick Grimes: 17-996'. A prominent red box highlights the 'Draft' status, with a red arrow pointing to the 'Edit' button in the 'My Current Actions' section. Below this, a progress flowchart shows the stages: Draft (highlighted), In Review, Under Management Plan, and Complete. The 'Conflict of Interest Certification Instructions' section states that users must recertify their financial disclosures and lists project details: Project ID: 17-996, Project Name: Walkers against people with weapons, Project Role: PI, and Project Type: IRB. A 'Notes to Discloser' section provides further context on the institution's commitment to conflict of interest management and lists specific submission types requiring COI certification.

UNM HEALTH SCIENCES CENTER | *Electronic Research Administration* | Rick Grimes | My Home | Logoff

Home | COI

COI > HSC-COI Initiated Certification for Rick Grimes: 17-996

**Draft** | Type: Conflict of Interest Certification | ID# DC00005671 | Discloser: Rick Grimes | Phone:

**My Current Actions**

- Edit
- Printer Version
- Submit Disclosures
- Log Comment

**Shortcuts**

**Disclosures** | History

Draft → In Review → Under Management Plan → Complete

**Conflict of Interest Certification Instructions**

You must recertify that all of your financial disclosures are up-to-date in the system because of your involvement in the following project(s):

- Project ID:** 17-996
- Project Name:** Walkers against people with weapons
- Project Role:** PI
- Project Type:** IRB

Remember that you must disclose any significant financial interests that are related to your institutional responsibilities.


**Notes to Discloser**

**Notes to COI Certification Discloser**


This institution is committed to ensuring its faculty an open and productive environment in which to conduct teaching, patient care, and research. The institution's concern with conflict of interest reflects the ever-increasing complexity of our society, our various relations with each other and with outside institutions, along with the heightened national and governmental sensitivity to such matters.

The personnel in the following submissions must complete a COI certification in Click COI: (1) on the budget list of a PreAward grant/contract, professional services, or other fiscal agreements; (2) a HRRC (IRB) submission (including data managers/statisticians); (3) OACC (Office of Animal Care and Compliance); and (4) RAC (Regional Allocation Committee). Non-UNM investigators that are not on a UNM subaward and not affiliated with a

The first page of your certification will look like this:

 **UNM**  
HEALTH SCIENCES  
CENTER | *Electronic Research  
Administration*

**Edit: Disclosure Certification - DC00005671**

**You Are Here:**  HSC-COI Initiated Certificatio...

<< Back

Save | Exit | Hide/Show Errors | Print... | Jump To: Institutional Responsibilities ▾

Continue >>

## HSC-COI Initiated Update for Rick Grimes : Institutional Responsibilities

The following questions apply to all Institutional activities.

- 1. Institutional Responsibilities include: Teaching, professional practice, personnel on internally or externally funded fiscal agreements, institutional compliance committee memberships and service on panels such as formulary or device committees, data and safety monitoring boards or non-government study section/grant review committees, administrator role in executing clinical, educational, or research contracts.**

\* Are you engaged in any of the items listed above?  Yes  No [Clear](#)

If yes to the above question, please include all of your Institutional Responsibilities:

- 2. \* Are you or will you be directly or indirectly involved in any funded or non-sponsored projects at this institution? This includes, but is not limited to, being listed on any funding proposal, awarded grant/contract, IRB, RAC, IACUC submissions or other pilot funding.**

Yes  No [Clear](#)

Training and Education: You will read and certify that you understand the information below. If your last training date is blank, this means you have not completed the FCOI training course (HSC-104-002) or if your account is new, the date has not been entered by the COI Administrator. If your training has expired (> 4 yrs ago), you will receive a notification to complete the FCOI training.

UNM HEALTH SCIENCES CENTER | *Electronic Research Administration* | Edit: Disclosure Certification - DC00005671

You Are Here: HSC-COI Initiated Certificatio...

<< Back | Save | Exit | Hide/Show Errors | Print... | Jump To: Training and Education | Continue >>

### HSC-COI Initiated Update for Rick Grimes : Training and Education Information

This institution requires you to complete a few simple steps in order to be compliant with its policy and federal regulations. The following steps may be completed through the Conflict of Interest management system.

- Complete this "Disclosure Certification" training when you begin employment and as required by institutional policy.
- Disclose any Significant Financial Interests within 30 days of acquiring or discovering the interest, by completing the financial disclosure form.
- Provide any additional information requested as your Disclosure Certification is reviewed.
- If a Management Plan is required, your agreement to the plan must be documented prior to any funding related to your SFI(s) being released. If a Management Plan is in place, you are responsible for all its terms, conditions, and actions.
- You must respond to all requests for information and/or meetings regarding the institution's responsibility to monitor compliance with the plan.
- Even if you have no outside organizations or companies with which you or an immediate family member have a financial relationship you still need to complete a disclosure with every sponsored project, HRPO submission and IACUC submission.

1. \* I certify that I have read and understood the information above presented to me:  Yes  No [Clear](#)

Your FCOI Training needs to be updated every 4 years. If your date is blank, the COI Administrator will update it and will notify you if you have not taken the FCOI course (HSC-104-002) or if it has expired.

Your last training date on record is:

10/5/2017

<< Back | Save | Exit | Hide/Show Errors | Print... | Jump To: Training and Education | Continue >>

Your last recorded FCOI training date

If you answered yes to either 1.1 or 1.2 or both, you will disclose your information on a new page. If no to both, you will go to the final page.

## HSC-COI Initiated Update for Lucy Van Pelt : What to Disclose

Significant Financial Interests need to be disclosed if related to your Institutional Responsibilities (as defined on the Institutional Responsibilities SmartForm page).

According to [42 CFR Part 50 \(Subpart F, §50.603\)](#): A **significant financial interest**:

1. Consists of one or more of the following **financial interests** of the Discloser (and of the Discloser's spouse and dependent children) that reasonably appears to be related to the Discloser's **institutional responsibilities**:
  - o With regard to any publicly traded entity, a **significant financial interest** exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure and the value of any equity interest in the entity as of the date of disclosure, when aggregated, exceeds \$5,000. For purposes of this definition, remuneration includes salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship); equity interest includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value;
  - o With regard to any non-publicly traded entity, a **significant financial interest** exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure, when aggregated, exceeds \$5,000, or when the Investigator (or the Investigator's spouse or dependent children) holds any equity interest (e.g., stock, stock option, or other ownership interest);
  - o Intellectual property rights and interests (e.g., patents, copyrights), upon receipt of income related to such rights and interests.
2. Disclosers also must report the occurrence of any reimbursed or sponsored travel related to their **institutional responsibilities**. (*Sponsored travel* means that which is paid on behalf of the Investigator and not reimbursed to the Investigator so that the exact monetary value may not be readily available). However, this disclosure requirement does not apply to travel that is reimbursed or 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.

In addition, you must also disclose any of the following that you have or have received in the past or next twelve months:

3. A position as a director, executive officer, board member, advisory or review panel member, partner, trustee, manager or employee of an outside entity.
4. Any income from seminars, lectures, teaching engagements, participation in a speakers bureau, or for for-profit entity(ies) or non-profit entity(ies) that is not a federal, state, or local government agency or associated with an institution of higher education.
5. Any other situation not described in any of the above items that may be a potential or actual conflict of interest.

**Non Paid Positions** - Disclosure of Non-Paid Positions with External Organizations and Companies. Non-Paid positions that are related to your Institutional responsibilities are required to be reported. These will include but are not limited to positions such as being a board member or an advisory or review panel member.

**Exclusions** - The following exclusions apply to payments or ownership to you or members of your immediate family. These excluded items need not be disclosed:

1. Salary, royalties, or other remuneration paid by UNM to the investigator if the investigator is employed or appointed by UNM. This includes intellectual property rights assigned to UNM or to STC.UNM (the University's technology transfer unit) and agreements to share in royalties related to such rights (e.g., through licensing, royalty, or other intellectual property agreements).
2. Payments by or ownership in the employer(s) of an immediate family member, unless that employer is a competitor of this institution or a vendor or supplier of goods or services to this institution. For example, if your spouse is employed by or owns a local dry cleaning company, there is no need to disclose this (unless they have a contract with this institution that is related to your institutional responsibilities).
3. Payments by or ownership in a company that is obviously unrelated to your institutional responsibilities. For example, payment from or equity in a company owning a chain of fast food restaurants would generally not need to be reported. In contrast, a company selling medical devices or video conferencing equipment would need to be reported if either were relevant to your institutional responsibilities.
4. Any ownership in mutual funds, blind trusts, ETFs or retirement accounts in which you do not directly control the investment decisions.
5. Participation on a board of directors of university-affiliated companies that are part of job duties (for example, UNM research park companies).
6. Participation on the board of directors of non-profit charitable organizations in which no financial remuneration is received or that are unrelated to your institutional responsibilities
7. Income from seminars, lectures, or teaching engagements sponsored by a Federal, state, or local government agency, or an Institution of higher education, including academic teaching hospitals.
8. Income from service on advisory committees or review panels for a federal, state, or local government agency, an Institution of higher education, including an affiliated academic teaching hospital, medical center, or research institute.
9. Sponsored or reimbursed travel from a federal, state, or local governmental agency, or an institution of higher education, including an affiliated academic teaching hospital, medical center, or research institute.

\* **1.1 Using the criteria above, are there any outside organizations or companies with which you or an immediate family member (e.g. spouse, domestic partner, or dependent child) have a significant financial interest?**

Yes  No [Clear](#)

\* **1.2 Are there any outside organizations or companies in which you have a relevant, nonpaid position as defined above?**  Yes  No [Clear](#)

If you answered “yes” to question 1.1 and/or 1.2 on the “What to Disclose” page, you will see the Disclosure Details page. You will click **Add Disclosure** and name each organization in which you have a financial interest related to your institutional responsibilities.

**You Are Here** HSC-COI Initiated Certificatio...

<< Back Save | Exit | Hide/Show Errors | Print... | Jump To: Disclosure Details >> Continue >>

## HSC-COI Initiated Update for Lucy Van Pelt : Disclosure Details

**You need to disclose any financial relationship with an external company or organization where you or an immediate family member received remuneration or if you hold equity in said company.**  
On this page, you will be required to provide information on each company / external organization with which you have a financial relationship.  
If the relationship has not previously been disclosed, click on the "Add Disclosure" button.  
If the relationship has been previously disclosed, click on the "Edit" link next to the disclosure to update.  
If the relationship is no longer active (e.g., a consulting agreement that is no longer active), click on the "Remove" link to the right of the disclosure.

**+ Add Disclosure**

**1. Disclosures Under Review:**

View/Edit	Organization	Is Public Company	Relationships	Disclosure Types	Total Value	Is Significant?	Last Updated	Remove
There are no items to display								

**2. Previously Reviewed Disclosures (click 'Modify' to enable editing):**

Modify	View	Organization	Is Public Company	Relationships	Disclosure Types	Total Value	Is Significant?	Last Updated	Remove
There are no items to display									



After adding the organization name, you will see this page. The next questions ask specifics about your disclosure and may direct you to another page to add more information.

You Are Here: HSC-COI Initiated Certification... Disclosure FI00000419 for Lucy...

<< Back Save | Exit | Hide/Show Errors | Print... | Jump To: Disclosure General Information Continue >>

### Disclosure for Lucy Van Pelt : General Information

General Information concerning the relationship between the external organization and the discloser. For non-UNM employees, the external organization would be external to your main Employment.

1. **External Organization:** Pfizer, Inc.

or

**If you cannot find the organization in the above list, enter the name as text here:**

2. \* **Relationship to Discloser:**

Relationship

Self

Spouse

Dependent Child

3. \* **What type of financial relationship do you have with the external organization?**

Relationship

Equity (shares / options) in external company

Consulting, advisory, or speaking compensation

Editorial compensation

Intellectual Property Rights (License / Royalties paid directly to individual)

Reimbursements (excluding sponsored travel)

Sponsored Travel

Board of directors compensation

Authorship (e.g. journal or online article)

Manager or employee of external company

Director, executive officer, partner or trustee in external company

None

4. \* **Non-paid Position with an external organization?**

ID

Board Member

Advisory or review panel member in an existing organization or company

Other

None

**Please answer the questions below regarding non-paid positions:**

4a.

If you answered "other" above what is your position in this external organization/company:

4b.

What are your duties in this external organization/company:

The Disclosure Details page will look like this if you added financial interests related to your institutional responsibilities.

You Are Here: HSC-COI Initiated Certificatio...

<< Back Save | Exit | Hide/Show Errors | Print... | Jump To: Disclosure Details Continue >>

### HSC-COI Initiated Update for Lucy Van Pelt : Disclosure Details

**You need to disclose any financial relationship with an external company or organization where you or an immediate family member received remuneration or if you hold equity in said company.**  
On this page, you will be required to provide information on each company / external organization with which you have a financial relationship.  
If the relationship has not previously been disclosed, click on the "Add Disclosure" button.  
If the relationship has been previously disclosed, click on the "Edit" link next to the disclosure to update.  
If the relationship is no longer active (e.g., a consulting agreement that is no longer active), click on the "Remove" link to the right of the disclosure.

Add Disclosure

**1. Disclosures Under Review:**

View/Edit	Organization	Is Public Company	Relationships	Disclosure Types	Total Value	Is Significant?	Last Updated	Remove
	American Psychological Association		Self	Non-paid: Other	\$0	yes	10/11/2017 1:46 PM	
	Pfizer, Inc.	yes	Self	Equity (shares / options) in external company	>=\$5000	yes	10/11/2017 1:44 PM	
	CBrown Business	no	Self	Consulting, advisory, or speaking compensation	>=\$5000	yes	10/11/2017 1:50 PM	

**2. Previously Reviewed Disclosures (click 'Modify' to enable editing):**

Modify	View	Organization	Is Public Company	Relationships	Disclosure Types	Total Value	Is Significant?	Last Updated	Remove
There are no items to display									

<< Back Save | Exit | Hide/Show Errors | Print... | Jump To: Disclosure Details Continue >>

The **Edit** button allows you to make any changes within a disclosure for a particular organization. If you only see a **View** button and need to edit, contact the Click COI administrator for assistance.

Click on **Save**, then **Exit** if you need to leave the disclosure before completing it. It is at the bottom of every page.

Use the **Remove** button to remove an entire disclosure item. **After removing an item, do not go back and change any answers to questions asking if you have something to disclose.**

If you have any disclosures, there will be additional questions asking if the study/project is related in any way to your disclosure(s). This is the final page in your certification. Be sure to read all the information. Answer the question and certify that your information is accurate by checking the box below. Click the **Finish** button to submit your certification.

**You Are Here:** HSC-COI Initiated Certificatio...

<< Back Save | Exit | Hide/Show Errors | Print... | Jump To: Assurance and Certification Finish

### HSC-COI Initiated Update for Lucy Van Pelt : Assurance and Certification

- I hereby acknowledge that I have read and understand the Financial Conflicts of Interest Policy.
- I affirm that the information provided is to the best of my knowledge true and complete and does not misstate any facts.
- I will provide any additional information as requested by the Office of Research Compliance.
- I agree to cooperate in the development of any needed *Management Plan* as required per the Federal Regulations to manage, reduce, or eliminate existing conflicts of interest related to my research. I agree to comply with the terms and conditions contained in any *Management Plan*.

\* Are you a UNM employee And a doctor of medicine, doctor of osteopathy, dental surgeon, licensed chiropractor, optometrist or podiatrist?  Yes  No [Clear](#)

**If yes to above question** please check box to confirm you have verified your information regarding payments from manufacturers of drugs, medical devices, biological, medical supplies posted on the CMS website (<https://openpaymentsdata.cms.gov/search>) associated with the Physicians Payments Sunshine Act. (Note: The dispute and resolution period to address inaccurate information will be communicated to UNMHSC providers by the COI Office annually).

**Disclosures Under Review:**

Organization	Disclosure Type(s)	Total Value
American Psychological Association	Non-paid: Other	\$0
Pfizer, Inc.	Equity (shares / options) in external company	>=\$5000
CBrown Business	Consulting, advisory, or speaking compensation	>=\$5000

**Reviewed Disclosures:**

Organization	Disclosure Type(s)	Total Value
There are no items to display		

**\*\*\*BEFORE YOU FINISH\*\*\***

To save your disclosure certification for completion at a later time: DO NOT check the confirmation box and click "Finish"

To finalize and submit your disclosure certification for review: DO check the confirmation box and click "Finish"

My disclosures are up-to-date and accurate and I confirm that I understand and agree with the above statements.

<< Back Save | Exit | Hide/Show Errors | Print... | Jump To: Assurance and Certification Finish

This box must be checked and the Finish button clicked in order to submit your certification.

After you click the Finish button, you will see this page. This certification required **Administrative Review**, so that is the status you see listed. This means the COI Office will be reviewing this disclosure. If you forgot to disclose something, call the COI Office at 272-6433 or **log a comment** for assistance (email is sent to COI Office and shown under the **History tab**).

Status

The screenshot shows a web interface for a Conflict of Interest (COI) certification. The main heading is "Administrative Review". Below it, there are buttons for "View Disclosures", "Printer Version", and "Log Comment". A progress bar shows the stages: Draft, In Review, Under Management Plan, and Complete. The "In Review" stage is currently active. Below the progress bar, there are sections for "Research Certification Instructions", "Notes to Discloser", "Summary", "Routing Information", and "My Disclosures".

COI > HSC-COI Initiated Certification for Lucy Van Pelt: 17-456

**Administrative Review**

Type: Conflict of Interest Certification | ID# DC00005680 | Discloser: Lucy Van Pelt | Phone:

**My Current Actions**

- View Disclosures
- Printer Version
- Log Comment

**Shortcuts**

**Summary** | History

Draft → In Review → Under Management Plan → Complete

**Research Certification Instructions**

You must recertify that all of your financial disclosures are up-to-date in the system because of your involvement in the following project(s):

**Project ID:** 17-456  
**Project Name:** Self-help vs individual psychotherapy  
**Project Role:** study coordinator  
**Project Type:** IRB

Remember that you must disclose any significant financial interests that are related to your institutional responsibilities.

**Notes to Discloser**

Your disclosures are currently under review. Please check your email account, listed in the system as LVP@peanuts.com, for any communication regarding the status of review. If further action is required, you will be notified at the above listed email address, and will have to log back into this system.

**Summary**

**Last COI Training Date:** 10/5/2017  
**Management Plan:**  
**Snapshot:**  
**Date Submitted:** 10/11/2017  
**Review Due Date:** 12/10/2017

**Routing Information**

Discloser has a Significant Financial Interest: Yes  
Discloser involved in Research: Yes  
Discloser has Institutional Responsibilities: No  
**Needs Review:** Yes

**My Disclosures**

Organization	Publicly Traded?	Relationships	Disclosure Types	Significant?	Total Value	Last Updated
American Psychological Association		Self	Non-paid: Other	yes	\$0	10/11/2017 5:06 PM
Pfizer, Inc.	yes	Self	Equity (shares / options) in external company	yes	>=\$5000	10/11/2017 5:06 PM
CBrown Business	no	Self	Consulting, advisory, or speaking compensation	yes	>=\$5000	10/11/2017 5:06 PM

Export

If you don't have any disclosures requiring review, the status will be **No Review Required**. If the status of your certification is in **Administrative Review**, it will be reviewed by the HSC-COI Office. You will be notified if any clarifications are needed. The status will be **Administrative Review: Response Pending** until you respond and **Submit Changes** (button will be on left side of work space).

The screenshot shows a web application interface for COI (Conflict of Interest) management. At the top, there are navigation tabs for 'Home' and 'COI'. Below this, the page title 'COI' is displayed. On the left side, there is a sidebar with a 'COI Reports' section and a 'Create My Certification' button. The main content area features a table of certifications. The table has columns for ID, Name, First Name, Last Name, Type, and Status. The 'Administrative Review' tab is selected, and the table shows 9 items. The first item has a status of 'Administrative Review: Response Pending'. Other statuses include 'Draft', 'Scheduled for Meeting', 'Review Complete', 'Discloser Review of Plan', and 'Under Management/Mitigation Plan'. A pagination bar at the bottom indicates 'page 1 of 1'.

ID	Name	First Name	Last Name	Type	Status
DC00005681	HSC-COI Initiated Certification for Charlie Brown: 16-256	Charlie	Brown	Research Initiated Update	Administrative Review: Response Pending
DC00005682	HSC-COI Initiated Certification for Charlie Brown: 16-579	Charlie	Brown	Research Initiated Update	Draft
DC00005644	Research Initiated Certification for Charlie Brown: 15-555	Charlie	Brown	Research Initiated Update	Scheduled for Meeting
DC00005645	Research Initiated Certification for Charlie Brown: 15-556	Charlie	Brown	Research Initiated Update	Scheduled for Meeting
DC00005642	Research Initiated Certification for Charlie Brown: 17-123	Charlie	Brown	Research Initiated Update	Review Complete
DC00005649	Research Initiated Certification for Charlie Brown: 17-382	Charlie	Brown	Research Initiated Update	Scheduled for Meeting
DC00005643	Research Initiated Certification for Charlie Brown: 17-456	Charlie	Brown	Research Initiated Update	Discloser Review of Plan
DC00005641	Research Initiated Certification for Charlie Brown: 17-666	Charlie	Brown	Research Initiated Update	Review Complete
DC00005640	Research Initiated Certification for Charlie Brown: 17-999	Charlie	Brown	Research Initiated Update	Under Management/Mitigation Plan

When the HSC-COI office has completed the review, your Certification status will be **Review Complete**. If you require a management plan, the status will be **Discloser Review of Plan**. Once you accept the management plan, your status will change to **Under Management/Mitigation Plan**. If your disclosure requires COI Committee review, the status will be **Scheduled for Meeting**.

For any questions about your Click COI account, contact 272-3023.

For any assistance with completing your COI disclosure in Click COI, contact the HSC-COI Office at 272-6433 or [HSC-COI@salud.unm.edu](mailto:HSC-COI@salud.unm.edu).