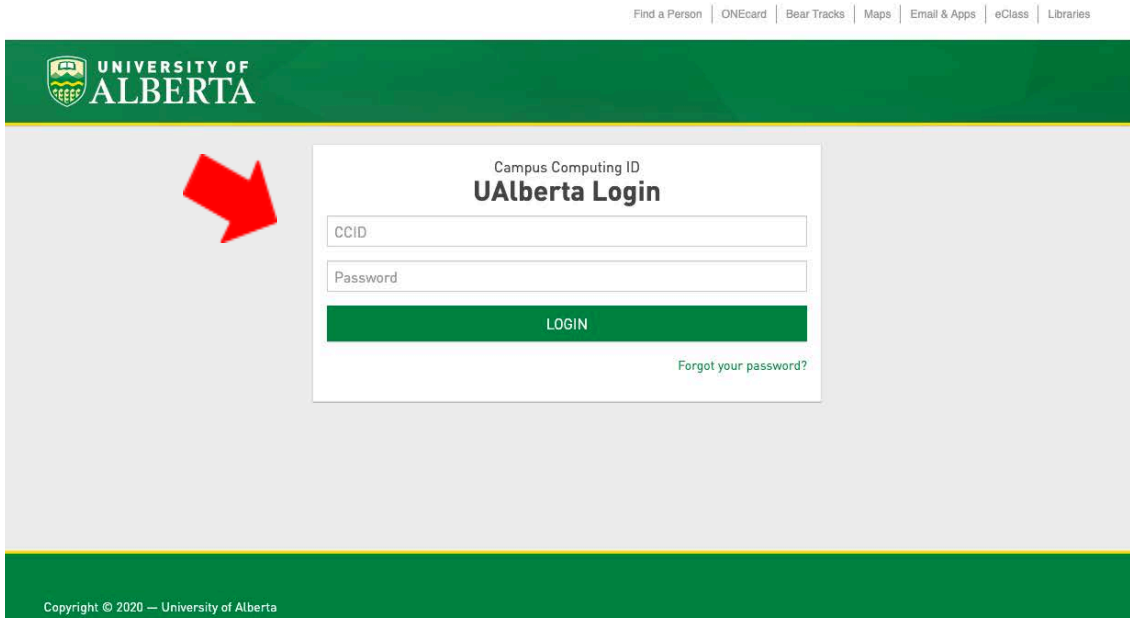
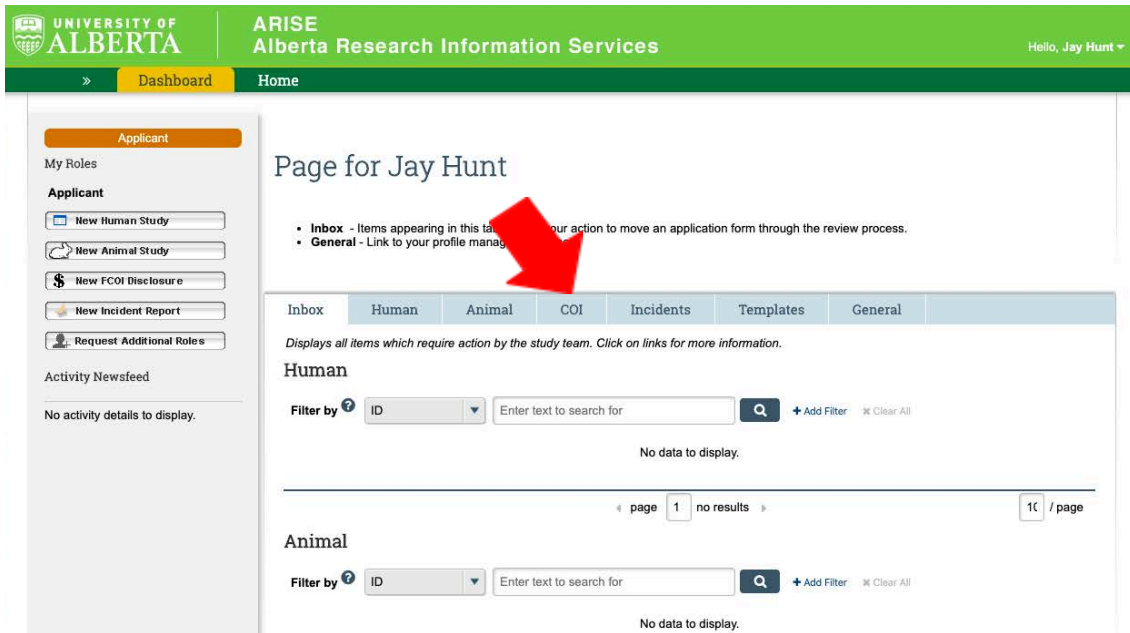


Annual Renewals for Financial Conflict of Interest (COI) Disclosures

1. Navigate to ARISE at <https://arise.ualberta.ca/> Please have pop-up blockers disabled.
2. Login to ARISE (red arrow) using your CCID and password (the same as for your @ualberta.ca account).



3. Once in your personal ARISE page, you will see a COI (Conflict of Interest) tab (red arrow), click here. This is where you can see previously disclosed projects and renew any significant financial interests (SFIs). If you don't see a COI tab, please contact nih@ualberta.ca



- Clicking on the COI tab brings you to your Conflict of Interest home page. You should see any previously disclosed projects in the COI section. Click to select the project you wish to renew (red arrow) from the COI Section (top listing). You can also identify projects that require a disclosure by the state of “Disclosure Pending”. Do not the Amendments or Renewals sections below (they will not contain the ‘Create Renewal’ link needed in the following steps).

The screenshot shows the ARISE dashboard for Jay Hunt. The 'COI' tab is selected, displaying a table of Conflict of Interest submissions. A red arrow points to the 'COI' tab. A callout box with the text 'Do not select projects from here' is overlaid on the table. The table has columns for ID, Name, Date Modified, State, and RES#. One item is listed: COI0001269, Longitudinal study of gut microbiome, 1/17/2020 12:27 PM, No Conflict of Interest, RES009899.

- This opens the project page. Click on the “Create Renewal” button (red arrow) in the left column to start your renewal.

The screenshot shows the project page for COI0001269. The left sidebar contains a 'Current State' section with a 'No Conflict of Interest' button and a 'Create Renewal' button. A red arrow points to the 'Create Renewal' button. The main content area shows project details: Project Title: Longitudinal study of gut microbiome, Discloser: Jay Hunt, RES #: RES009899, Funding Source: National Institutes of Health (NIH), Approved Date: Friday, January 17, 2020. Below this is a 'History' section with a table of activities.

Activity	Author	Activity Date
PAA COI0001269_REN1 completed.	Reviewer, John	1/24/2020 9:49 AM
PAA Opened	Hunt, Jay	1/17/2020 12:34 PM
View Renewal: COI0001269_REN1		
No Conflict of Interest	Reviewer, John	1/17/2020 12:27 PM
Thanks for your disclosure. Based on your submission, you have no financial conflicts of interest, at this time.		
Submit Disclosure	Hunt, Jay	1/17/2020 12:24 PM

6. This opens your disclosure. The first page is the 'Acknowledgement of NIH FCOI Training Obligations'. This page serves to confirm your training is kept up to date, with available links to training and policies if needed. Confirm your awareness of your responsibilities when holding or participating in NIH funded research by clicking the checkboxes (red arrow) and then click 'Continue' (blue arrow).

UNIVERSITY OF ALBERTA **ARISE**
Alberta Research Information Services New: UACOI

« Back Save Print Continue »

Acknowledgement of NIH FCOI Training Obligations

I acknowledge and understand that I am responsible for making myself aware of and have reviewed the following relevant University Policies and procedures regarding NIH Conflict of Interest:

- Financial Conflict of Interest for NIH and Other Applicable Research Funding Sources Reporting and Assessment Procedure
- Research Records Stewardship Guidance Procedure
- 2011 NIH Regulations NIH Financial Conflict of Interest

In particular, I confirm that I am aware that:

- *The eClass module that holds the complete initial University of Alberta NIH FCOI training course can be accessed at any time.
- *All study team members significantly involved in the design, conduct or analysis of the NIH research need to be identified to the Designated Official (nih@ualberta.ca).
- *Conflict of Interest Disclosures must be completed prior to application submission and annually for the life of the project.
- *Conflict of Interest disclosures are done retrospectively for the previous year.
- *Amendments to your disclosure must be made within 30 days for changes to your significant financial interests (SFI).
- *The University of Alberta's definition for a conflict of interest is "a situation in which there is OR may be perceived to be a divergence between the private financial benefit or financial interest or personal benefit of a person, family member, or an outside party, and that person's obligation to the University, such that an impartial observer might reasonably question whether related actions to be taken or decisions made by the person would be influenced by consideration of the person's own interests".
- *Any inquiries or additional information can be found on the [website](#) or by contacting nih@ualberta.ca.

Non-compliance with the policies and procedures described in this Acknowledgement constitutes misconduct and may be handled under the applicable University policies.

« Back Save Print Continue »

7. Project Information: Edit any investigator or project information that has changed since the previous disclosure. Often the Project end date needs to be updated (blue arrow). If no information has changed, or all edits are completed, click 'Continue' (red arrow).

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Back Save Exit Hide/Show Errors Print Jump To - Continue

1.1 Investigator & Project Information

*** RSO Project Number (RES#):**
RE50088889

Project/Grant End Date:
12/31/2024

Faculty:
Medicine & Dentistry

Department:
MH Medicine

*** Funding Source:**
National Institutes of Health (NIH)

Funding Source (Other):

*** Project Title:**
Longitudinal study of gut microbiome

*** Lead UoA Principal Investigator:**
Jay Hunt

*** UoA is Lead Institution?**
 Yes No [Clear](#)

Lead Institution (Sub-Grant In):
University of Colorado

Lead Principal Investigator:
Sheila Frank

*** External Contractor (Sub-Grant Out):**
 Yes No [Clear](#)

Your role in the project:
 Academic Personnel
 Non-Academic/Trust Personnel
 Trainee
 Other
[Clear](#)

*** Do you have a spouse/partner?** Spouse/Partner is defined as either a) the person to whom the Investigator is lawfully married as evidenced by a legally certified document of marriage, or b) a person whose relationship to the Investigator falls under the legal definition of Adult Interdependent Relationship (formerly common-law relationship).
 Yes No [Clear](#)

*** Do you have a dependent child(ren)?** A dependent child must meet all 4 criteria: 1) Residency: Must live with the Investigator for at least 6 months of the year; 2) Relationship: The child, adopted child, eligible foster child, or a descendant of any of those (such as grandchildren) of the Investigator. Step-children and half-siblings also meet this qualification. Siblings and their descendants also qualify; 3) Age: must be under age 19 at the end of the year, unless they are under age 24 and a full-time student. However, any child who is permanently disabled can be claimed as a dependent, regardless of age; 4) Support: The child cannot provide more than half of the money for their own support, i.e. a child whose care is paid for by a trust fund or other source of money would not be eligible.
 Yes No [Clear](#)

Back Save Exit Hide/Show Errors Print Jump To - Continue

8. Edit any financial information, and assure any significant financial interest (SFI) statements are reflective of your situation for the previous year (blue arrow). Click 'Continue' to proceed (red arrow).

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ARISE
Alberta Research Information Services

Edit: UACOI - COI0001269_DRF

« Back Save Exit Hide/Show Errors Print Jump To » Continue »

2.1 Declarations

2.1 Investigator:
I hereby declare that I, Jay Hunt, the Investigator,

<input checked="" type="radio"/> Yes <input type="radio"/> No Clear	Received payment(s) from, or held equity in, a publicly traded entity; those payments/equity are related to my institutional responsibilities and have an aggregate value of greater than \$5,000 CAD in the previous 12 months.
<input checked="" type="radio"/> Yes <input type="radio"/> No Clear	Received payment(s) from a non-publicly traded entity; those payments are related to my institutional responsibilities and have an aggregate value of greater than \$5,000 CAD in the previous 12 months.
<input type="radio"/> Yes <input checked="" type="radio"/> No Clear	Held any equity interest in a non-publicly traded entity (e.g., spin-off company) in the previous 12 months, that entity being related to my institutional responsibilities.
<input type="radio"/> Yes <input checked="" type="radio"/> No Clear	Received aggregate income from a payor, for my intellectual property interests related to my institutional responsibilities, greater than \$5,000 CAD in the previous 12 months.
<input type="radio"/> Yes <input checked="" type="radio"/> No Clear	Received aggregate payment(s) or reimbursement(s) for seminars, lectures or service on advisory/review panels/boards, related to my institutional responsibilities and greater than \$5,000 CAD per entity in the previous 12 months.
<input type="radio"/> Yes <input checked="" type="radio"/> No Clear	Have an aggregate sum greater than \$5,000 CAD for the previous 12 months for a combination of multiple SFIs of the above types when from a single entity.
<input checked="" type="radio"/> Yes <input type="radio"/> No Clear	Have taken sponsored travel (or have been reimbursed for travel) related to my institutional responsibilities, with an aggregate value greater than \$5,000 CAD per entity in the previous 12 months.

Note: Aggregate = sum of SFIs of Investigator + Spouse/Partner + Dependent Child(ren)

Exclusions:

- Salary or other remuneration from the Institution
- Intellectual property assigned to the Institution
- Income from investments (e.g., mutual funds) where the Investigator does not control the investment decisions
- Income from seminars, lectures, service on advisory/review panels/boards when 1) aggregates less than \$5,000 CAD from one entity for the previous 12 months, or 2) any amount from a U.S. government, U.S. post-secondary institution, or U.S. health science center
- Ownership interest in the Institution where the Institution is a commercial or for-profit entity (This situation is rare, please contact the NIH Designated Official)

« Back Save Exit Hide/Show Errors Print Jump To » Continue »

9. If applicable, edit any financial information for either your partner or dependents, and assure any statements are reflective of their situation(s) for the previous year (blue arrow). Names are only required if the individual answers 'yes' to any of the SFI statements. Click 'Continue' to proceed (red arrow).

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Edit: UACOI - COI0001269_DRF

« Back Save Exit Hide/Show Errors Print Jump To » Continue »

2.2 Spouse/Partner:

2.2 I, Jay Hunt, the Investigator, on behalf of my spouse/partner, hereby declares that they

<input type="radio"/> Yes <input checked="" type="radio"/> No Clear	Received payment(s) from, or held equity in, a publicly traded entity; those payments/equity are related to the Investigator's institutional responsibilities and have an aggregate value of greater than \$5,000 CAD in the previous 12 months.
<input type="radio"/> Yes <input checked="" type="radio"/> No Clear	Received payment(s) from a non-publicly traded entity; those payments are related to the Investigator's institutional responsibilities and have an aggregate value of greater than \$5,000 CAD in the previous 12 months.
<input type="radio"/> Yes <input checked="" type="radio"/> No Clear	Held any equity interest in a non-publicly traded entity (e.g., spin-off company) in the previous 12 months, that entity being related to the Investigator's institutional responsibilities.
<input type="radio"/> Yes <input checked="" type="radio"/> No Clear	Received aggregate income from a payor, for my intellectual property interests related to the Investigator's institutional responsibilities, greater than \$5,000 CAD in the previous 12 months.
<input type="radio"/> Yes <input checked="" type="radio"/> No Clear	Received aggregate payment(s) or reimbursement(s) for seminars, lectures or service on advisory/review panels/boards, related to the Investigator's institutional responsibilities and greater than \$5,000 CAD per entity in the previous 12 months.
<input type="radio"/> Yes <input checked="" type="radio"/> No Clear	Have an aggregate sum greater than \$5,000 CAD for the previous 12 months for a combination of multiple SFIs of the above types when from a single entity.
<input type="radio"/> Yes <input checked="" type="radio"/> No Clear	Have taken sponsored travel (or have been reimbursed for travel) related to the Investigator's institutional responsibilities, with an aggregate value greater than \$5,000 CAD per entity in the previous 12 months.

Note: Aggregate = sum of SFIs of Investigator + Spouse/Partner + Dependent Child(ren)

Exclusions:

- Salary or other remuneration from the Institution
- Intellectual property assigned to the Institution
- Income from investments (e.g., mutual funds) where the Investigator does not control the investment decisions
- Income from seminars, lectures, service on advisory/review panels/boards when 1) aggregates less than \$5,000 CAD from one entity for the previous 12 months, or 2) any amount from a U.S. government, U.S. post-secondary institution, or U.S. health science center
- Ownership interest in the Institution where the Institution is a commercial or for-profit entity (This situation is rare, please contact the NIH Designated Official)

« Back Save Exit Hide/Show Errors Print Jump To » Continue »

10. Non-Travel SFIs: If you indicated holding a non-travel related SFI on any disclosure page (either for yourself, your spouse/partner or any dependents), you will be required to edit/disclose the details. Click on the 'Add' button (red arrow) to add a new financial interest that appeared in the previous year. This will bring up a new pop-up window. (see step 11). To edit a previously disclosed SFI, click on the name of the entity (blue arrow). This will also bring up a new pop-up window (see step 11). If you do not need to edit any of the information, click 'Continue' and skip to step 12. If you did not have any SFIs, you will not see these pages and can skip to step 15.

11. Pop-up non-travel SFI entries: For previously entered SFIs, update any information that has changed in the previous year (blue arrow). Once updated, click OK (red arrow). For new entries, complete the required fields, and click OK (red arrow). After you have entered all applicable SFIs, or if you have no SFIs to disclose, click 'Continue' (green arrow) on the Non-Travel SFI page (same as step 10).

12. Travel SFIs: If you indicated holding a travel related SFI on any disclosure page (either for yourself, your spouse/partner or any dependents), you will be required to edit/disclose the details. Click on the 'Add' button (red arrow) to add a new financial interest that appeared in the previous year. This will bring up a new pop-up window. (see step 13). To edit a previously disclosed SFI, click on the name of the entity (blue arrow). This will also bring up a new pop-up window (see step 13).
If you do not need to edit any of the information, click 'Continue' and skip to step 14.

The screenshot shows the ARISE web application interface. At the top, there is a green header with the University of Alberta logo and 'ARISE Alberta Research Information Services'. Below the header is a navigation bar with buttons for 'Back', 'Save', 'Exit', 'Hide/Show Errors', 'Print', 'Jump To', and 'Continue'. The main content area is titled '3.2 Travel Significant Financial Interests'. It features a 'Travel SFIs:' section with an '+ Add' button highlighted by a red arrow. Below this is a table with the following data:

Name of Entity	Owner of SFI	Purpose of Travel	Destination	Trip Start Date	Trip End Date	Total Value
Pfizer Canada	Investigator	Conference	Seattle WA	Sunday, August 16, 2020	Thursday, August 20, 2020	\$5,500.00

Below the table, there is a section for 'Significant Financial Interest:' with a text area and a list of 'Can include:' and 'Exclusions:' items. A blue arrow points to the 'Pfizer Canada' entry in the table.

13. Pop-up travel SFI entries: For previously entered SFIs, update any information that has changed in the previous year (blue arrow). Once updated, click OK (red arrow). For new entries, complete the required fields, and click OK (red arrow). After you have entered all applicable SFIs, or if you have no SFIs to disclose, click 'Continue' (green arrow) on the Travel SFI page (same table as step 12).

3.2 Travel Significant Financial Interests

Travel SFI for Investigator

1.0 * Name of entity (sponsor or organization):
Pfizer Canada

2.0 * Holder of SFI entity:
Investigator

3.0 * Purpose of Travel:
Conference

4.0 * Destination:
Seattle WA

5.0 * Trip start date:
Sunday, August 16, 2020

6.0 * Trip end date:
Thursday, August 20, 2020

7.0 Total monetary value (CAD) – include airfare, meals, transfers, hotels, etc.
\$5,500.00
 Value cannot be determined

Buttons: Back, Continue, OK, OK and Add Another, Cancel

14. The SFI Commentary page asks you questions relating to the SFIs you have listed. This provides context and information on which to evaluate your SFIs in relation to the specific proposed funding project. As stressed in the training, a SFI that is related to your proposed funding will result in a tailored, practical plan to manage the financial interest while allowing research to proceed, created by both the individual and the Designated Official. If you did not have any SFIs to disclose, you will not see this page. Click 'Continue' (red arrow) when complete.

3.3 SFI Commentary

1.0 * You indicated 'yes' to one or more of the previous significant financial interests (SFI; for the Investigator, partner or dependents). For each of the SFI(s) you have identified, could the financial interest be related to this specific proposed/awarded study? Please provide relevant details.

Sunny-side: not related to current proposed study. NIH funded research focuses on gut microbiome and this company develops wound care pharmaceuticals.

CIHR: The committee advises on dermatology focused grants, unrelated to gut microbiome.

Seattle: conference registration, travel and accommodations funded via a Pfizer scholarship. Conference discussed gut microbiome, but was not main focus. Pfizer scholarship did not hinge on gut microbiome interests.

2.0 * For the same SFI(s) you have identified above, is the financial interest an entity whose financial future could be affected (either positively or negatively) by this specific proposed/awarded study? Please provide relevant details.

None would be affected by the outcomes of the current proposed NIH research, regardless of if the outcome of the proposed project's hypotheses were null or true.

Buttons: Back, Save, Exit, Hide/Show Errors, Print, Jump To, Continue

15. Consent: According to Alberta's Freedom of Information and protection of Privacy (FOIP) Act, Investigators must consent for the collection and disclosure of personal information. Indicate your agreement with the statements by clicking on the check boxes (red arrows). Then click 'Continue'. These consents must be collected for every disclosure.

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« Back Save Exit Hide/Show Errors Print Jump To - Continue »

4.1 Consent for Collection and Disclosure of Personal Information (for compliance with the Province of Alberta Freedom of Information and Protection of Privacy [FOIPP] Act).

***Consent for collection of personal information:**
Indicate your agreement with the statement by checking the box

I understand that the personal information provided herein is collected under the authority of Section 33(c) of Alberta's Freedom of Information and Protection of Privacy Act for authorized purposes including administration of employment and research records and will be protected under Part 2 of that Act. Personal information may be disclosed to academic and administrative units according to University policy, and reporting requirements to NIH or other funding sources, as required. For details on the use and disclosure of this information, please contact the Designated Official at 780-289-4890.

***Consent for disclosure of personal information:**
Indicate your agreement with the statements by checking the corresponding boxes

I voluntarily authorize the University's Designated Official to disclose all information relating to the presence or absence of any significant financial interests (SFIs) disclosed herein, to National Institutes of Health (NIH) for the purpose of compliance with the United States regulations 42 CFR Part 50 Subpart F (<https://policiesonline.ualberta.ca/PoliciesProcedures/Procedures/Financial-Conflict-of-Interest-for-NIH-and-Other-Applicable-Research-Funding-Sources-Reporting-and-Assessment-Procedure.pdf>) and 45 CFR Part 94.

I voluntarily authorize the Designated Official to disclose the information herein to any personnel of the University as deemed necessary by the Designated Official in order for that Designated Official to assess, in accordance with the Procedure, whether any Significant Financial Interests (SFIs) disclosed herein constitutes a Financial Conflict of Interest (FCOI).

In the event that the Designated Official determines that any Significant Financial Interest that I have disclosed herein constitutes a Financial Conflict of Interest, I voluntarily authorize the University's Designated Official to declare such information to the NIH/Other Funding Sponsor, as applicable, and to post any or all information collected on this form pertaining to that Financial Conflict of Interest on a public website or release it in response to a written request, pursuant to the Procedure.

I understand that as UofA/AHS employee with funding via these entities, PIs and their study staff are not required to sign or disclose information for other institutions. If this is done, it is done under the free will of the PI/study staff to sign/disclose as per the other institution's requirements

This permission will exist from the time this record is submitted to the end-date of the award plus 3 years.

« Back Save Exit Hide/Show Errors Print Jump To - Continue »

16. Revocation of Consent: Investigators can revoke consent at any point and are required to acknowledge this responsibility by clicking on the check boxes (red arrows). Then click 'Continue'.

UNIVERSITY OF ALBERTA | ARISE Alberta Research Information Services | Edit: UACOI - COI00001269_DRF

« Back Save Exit Hide/Show Errors Print Jump To - Continue »

5.1 Acknowledgement Regarding Revocation of Consent to Disclose

* I acknowledge that, at any time, I may notify the Designated Official that I no longer wish to apply and/or work on a research project funded by National Institutes of Health (NIH). In such event, or in any other event that my consent (or the consent of my spouse/partner or dependent child(ren)) for disclosure is revoked, I acknowledge that the University of Alberta must notify the applicable funding agency (NIH, Other Funding Sponsor, or in the case of a sub-contract in, the prime recipient) that I am no longer compliant with the funding agency's requirements. I acknowledge that, as a result of such noncompliance, I could be subject to:

i. Penalties imposed by the funding agency at their discretion (an example of a penalty includes but is not limited to: revoking permissions for the Investigator to apply for any further research project funding from that funding agency and/or other funding agencies);

ii. Requests by the funding agency that I pay back all funds that have been paid by the funding agency to the University; and/or

iii. Refusal by the funding agency to send any further funds to the University for the research project.

* I acknowledge that, in the event that such notification to the applicable funding agency is made, the University of Alberta is in no way responsible for:

i. Repayment of funds to the funding agency;

ii. Reimbursement of committed or non-cancelable costs of my research project that arise because there is no further funding coming from the funding agency; and/or any penalties that may be assessed at the discretion of the funding agency.

* I understand that this voluntary disclosure means that this procedure, and accepting funding, is optional. Failing to abide by the funding agreement requirements, the UofA procedure and the 2011 NIH Regulations from the underlying funding source may result in loss of funding or withholding final disbursement of funds.

Consents may be revoked at any time by so indicating in writing to the Designated Official.

« Back Save Exit Hide/Show Errors Print Jump To - Continue »

17. Pre-submission page: Once you complete the renewal entry, you arrive at the renewal page. Here you can see the project title, the RES number, the funding source and other information. You can also see in the left column that the disclosure for this project is in 'Pre-submission'(orange). In order to submit this disclosure to the NIH Designated Official, click 'Submit' (red arrow). Also note the blue arrow, where you may communicate with the Designated Official through the ARISE system, if you choose.

UNIVERSITY OF ALBERTA | ARISE Alberta Research Information Services | Hello, Jay Hunt

Dashboard Home

Current State: Pre Submission

COI00001269_REN2

Project Title: Longitudinal study of gut microbiome

Discloser: Jay Hunt | RES #: RES0098989

Funding Source: National Institutes of Health (NIH) | Approved Date:

History | Change Logs

No data to display.

Activities:

- Submit
- Email NIH Designated Official
- Delete Disclosure
- Copy Disclosure

18. Submission Pop-up: A pop-up window that appears that provides the option to include any details that you may feel necessary and then click 'OK' (red arrow) to submit.

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Dashboard Home

Execute "Submit" on COI00001269_REN2

Submit

Please confirm your submission of your Financial Conflict of Interest Disclosure and Consent for NIH funded research.

Click **OK** to submit.
Click **Cancel** to return to your record.

Additional Comments:

OK Cancel

19. Submitted Renewal disclosures: The disclosure is submitted because you can see 'In Review' in orange on the left and the history log tab displays 'Submit Disclosure' as an activity that has occurred, including a date, time and author. If you need to communicate further with the NIH Designated Official, you can click on the 'Email NIH Designated Official' in the left column.

Current State

In Review

View Disclosure

Printer Version

View Differences

Activities

Email NIH Designated Official

COI00001269_REN2

Project Title: Longitudinal study of gut microbiome

Discloser: Jay Hunt

RES #: RES0098989

Funding Source: National Institutes of Health (NIH)

Approved Date:

History Change Logs

Activity	Author	Activity Date
Submit Disclosure	Hunt, Jay	1/24/2020 9:58 AM

End of Instructions